

# **Tri-County Services Board of Trustees' Meeting**

**December 8, 2011**



Notice is hereby given that a regular meeting of the Board of Trustees of Tri-County Services will be held on Thursday, December 8, 2011. The Business Committee will convene at 9:00 a.m., the Program Committee will convene at 9:30 a.m. and the Board meeting will convene at 10:00 a.m. at 1506 FM 2854, Conroe, Texas. The public is invited to attend and offer comments to the Board of Trustees between 10:00 a.m. and 10:15 a.m.

## **AGENDA**

### **Item**

- I. Organizational Items**
  - A. Chairman Calls Meeting to Order
  - B. Public Comment
  - C. Quorum
- II. Program Presentation - Huntsville Life Skills Christmas Carolers**
- III. Presentation of Awards to Consumer Christmas Card Contest Winners**
- IV. Presentation to ExxonMobil Day of Caring Volunteers**
- V. Longevity Recognition Presentations**
- VI. Approve Minutes - October 20, 2011**
- VII. Executive Director's Report - Cindy Sill**
  - A. DADS
    - 1. Targeted Case Management Update
    - 2. Texas Home Living Waiver Enrollment
    - 3. HCS Cost Containment
  - B. DSHS
    - 1. Financial Monitoring Review
    - 2. Outpatient Competency Restoration Proposal
    - 3. Psychiatric Emergency Treatment Center (CSU)
    - 4. Substance Abuse License Expansion Update
    - 5. Various Surveys and Reviews
  - C. Managed Care Expansion
  - D. ETBHN
    - 1. Managed Care Opportunities
    - 2. Business Products
    - 3. Strategic Planning Update
  - E. From the Heart Update
- VIII. Chief Financial Officer's Report - Millie McDuffey**
  - A. FY 2011 Financial Audit
  - B. Cost Accounting Methodology (CAM) Report
  - C. Worker's Compensation Audit
  - D. FY 2011 HCS, ICF and Texas Home Living Cost Reports
  - E. Real Estate Update

**IX. Program Committee**

Information Items

- A. Community Resources Report for October & November 2011 ..... *Pages 8-10*  
B. Consumer Services Report for October 2011 ..... *Pages 11-12*  
C. Program Updates for October 2011 ..... *Pages 13-16*

**X. Executive Committee**

Information Items

- A. Personnel Report for October 2011 ..... *Pages 17-18*  
B. Texas Council Quarterly Meeting Update ..... *Page 19*

**XI. Business Committee**

Action Items

- A. Approve October 2011 Financial Statements ..... *Pages 20-32*  
B. Approve Banking Services Contract with JPMorgan Chase Bank, N.A. .... *Pages 33-34*  
C. Ratify Huntsville Respite House and Apartment Remodeling Expense ..... *Page 35*  
D. Approve Revisions to the Board Policy on Employee Benefits ..... *Pages 36-47*  
E. Approve Revisions to the Board Policy on Depositories ..... *Pages 48-57*  
F. Reappoint Independence Communities, Inc. Board of Directors ..... *Page 58*  
G. Reappoint Montgomery Supported Housing, Inc. Board of Directors ..... *Page 59*  
H. Consider Final Close-out with Diamond Commercial Construction for CSU Construction ..... *Page 60*

Information Items

- I. October 2011 Board of Trustees' Unit Financials ..... *Pages 61-62*  
J. Montgomery Supporting Housing, Inc. Update ..... *Page 63*

**XII. Executive Session in compliance with Texas Government Code Section 551.071, Consultation with Attorney**

Posted By:

Sami Tuminas  
Executive Assistant

# Tri-County Services

P.O. Box 3067  
Conroe, TX 77305

## BOARD OF TRUSTEES' MEETING

October 20, 2011

### BOARD MEMBERS PRESENT:

Len George  
David Walker  
Patti Atkins  
Morris Johnson  
Janet Qureshi  
Tracy Sorensen  
Sharon Walker

### BOARD MEMBERS ABSENT:

Brad Browder  
Cecil McKnight

### TRI-COUNTY STAFF PRESENT:

Cindy Sill, Executive Director  
Millie McDuffey, Chief Financial Officer  
Evan Roberson, Director of Organizational Support  
Don Teeler, Director of Operations  
Sandy Kelly, Director of Administrative Support  
Sami Tuminas, Executive Assistant  
Shane Burks, Coordinator of Community Resources  
Ana Pena de Garcia, Staff  
Linda Balmer, Staff  
Derral Bomar, Staff  
Jason Ceazer, Staff  
Joyce Boyd, Staff  
Sonya Shedd, Staff  
Frani Scates, Staff  
Jamie Parker, Staff  
Gary Doddridge, Staff  
Mary Gail Doddridge, Contractor  
Trish Janek, Staff  
Craig Ireland, Staff  
Heather Robison, Staff  
Kelly Shropshire, Staff  
David Deaton, Legal Counsel

**CALL TO ORDER:** Chairman, Len George, called the meeting to order at 10:00 a.m. at 1506 FM 2854, Conroe, TX.

**PUBLIC COMMENT:** There were no public comments.

**QUORUM:** There being seven (7) members present, a quorum was established.

### RESOLUTION #10-11-01

**MOTION MADE BY:** Patti Atkins

**SECONDED BY:** Morris Johnson, with affirmative votes by Len George, David Walker, Janet Qureshi, Tracy Sorensen, and Sharon Walker that it be...



**RESOLVED:** That the Board excuse the absences of Cecil McKnight and Brad Browder.

**RESOLUTION #10-11-02**

**MOTION MADE BY:** Morris Johnson

**SECONDED BY:** Sharon Walker, with affirmative votes by Len George, David Walker, Patti Atkins, Janet Qureshi, and Tracy Sorensen that it be...

**RESOLVED:** That the Board approve the minutes of the September 22, 2011 meeting of the Board of Trustees.

Presentation of longevity recognitions to Tri-County staff.

Cecil McKnight arrived which brought the quorum to eight (8) members present.

**EXECUTIVE DIRECTOR'S REPORT:**

The Executive Director's report is on file.

**CHIEF FINANCIAL OFFICER'S REPORT:**

The Chief Financial Officer's report is on file.

**PROGRAM COMMITTEE:**

**RESOLUTION #10-11-03**

**MOTION MADE BY:** David Walker

**SECONDED BY:** Sharon Walker, with affirmative votes by Len George, Patti Atkins, Morris Johnson, Cecil McKnight, Janet Qureshi, and Tracy Sorensen that it be...

**RESOLVED:** That the Board appoint the new Intellectual and Developmental Disabilities Planning Network Advisory Committee member, Madeline Brogan, for a term which expires August 31, 2013.

The Community Resources Report for September 2011 was reviewed for information purposes only.

The Consumer Services Report for September 2011 was reviewed for information purposes only.

The Program Updates for September 2011 were reviewed for information purposes only.

Program Presentation – Craig Ireland and Heather Robison presented information about Avail Solutions and Suicide Prevention Calls/Interventions.

**EXECUTIVE COMMITTEE:**

**RESOLUTION #10-11-04**

**MOTION MADE BY:** David Walker

**SECONDED BY:** Tracy Sorensen, with affirmative votes by Len George, Patti Atkins, Morris Johnson, Cecil McKnight, Janet Qureshi, and Sharon Walker that it be...

**RESOLVED:**

That the Board cast the ballot for nominees for the Texas Council Risk Management Fund Board of Trustees, Places 4, 5, and 6 as follows:

- Place 4 – Judge Van L. York
- Place 5 – J. C. Whitten
- Place 6 – Gus Harris

The Personnel Report for September 2011 was reviewed for information purposes only.

**BUSINESS COMMITTEE:**

**RESOLUTION #10-11-05**

**MOTION MADE BY:** Morris Johnson

**SECONDED BY:** Janet Qureshi, with affirmative votes by Len George, David Walker, Patti Atkins, Cecil McKnight, Tracy Sorensen, and Sharon Walker that it be...

**RESOLVED:**

That the Board approve the September 2011 financial statements.

**RESOLUTION #10-11-06**

**MOTION MADE BY:** Morris Johnson

**SECONDED BY:** Patti Atkins, with affirmative votes by Len George, David Walker, Cecil McKnight, Janet Qureshi, Tracy Sorensen, and Sharon Walker that it be...

**RESOLVED:**

That the Board approve the recommendation to declare 1998 Ford Explorer as surplus and approve sale to the highest bidder.

The 4<sup>th</sup> Quarter FY 2011 Investment Report was reviewed for information purposes only.

The Board of Trustees' September 2011 Unit Financials were reviewed for information purposes only.

**There was no need for Executive Session.**

**RESOLUTION #10-11-07**

**MOTION MADE BY:** Cecil McKnight

**SECONDED BY:** Sharon Walker, with affirmative votes by Len George, David Walker, Patti Atkins, Morris Johnson, Janet Qureshi, and Tracy Sorensen that it be...

**RESOLVED:**

That the October 20, 2011 meeting of the Board of Trustees be adjourned  
at 11:50 a.m.

**ADJOURNMENT:**

[Redacted Signature]

Len George  
Chairman

Date

**ATTEST:**

[Redacted Signature]

Brad Browder  
Secretary

Date

## **Executive Director's Report December 8, 2011**

### Information

- Next regularly scheduled Board meeting is Thursday, January 26<sup>th</sup> and the FY 2011 independent audit will be among the agenda items.
- The Center will be closed December 23-26<sup>th</sup> in observance of the Christmas holidays; crisis and residential services will, of course, be operational. The Center will also be closed January 2<sup>nd</sup> **in observance of New Year's Day holiday.**
- Next quarterly meeting of the Texas Council is January 20-21<sup>st</sup>; the Executive **Directors' Consortium begins on January 19<sup>th</sup>.**
- Anadarko delivered their gifts for the 75 families they adopted as well as the toys that were donated at their annual family Christmas party yesterday.
- The Christmas party was success due to the great job that the VIP team did in planning the event.

### Operations

- Department of Aging and Disability Services (DADS) – The new Targeted Case Management service delivery and billing method has been a challenge for our Center and most of the Centers across Texas. Our local situation was compounded by the retirement of 2 of our case managers and another resignation; we have filled 2 of the 3 vacant positions, and staff are completing their training. As mentioned in October, this new service process was complicated by an upgrade to Anasazi that caused the software system to have numerous glitches. We have remedied most of the software problems within our purview. We continue to make enhancements in our service, billing and documentation processes and expect to see further improvements each month.

Staff completed all but 12 of the 45 Texas Home Living waiver enrollments by November 30<sup>th</sup> and enrollment extensions were granted for these individuals. About 50% of the individuals selected Tri-County as their provider and the others stayed with their current provider. Staff have done a commendable job completing these intensive and time intensive enrollment processes.

The HCS cost containment measures have impacted 6 of our consumers and their families and all but one of requests for waiver of these stipulations have been resolved. Our staff continue to work with DADS staff to resolve this last case which involves a wheelchair lift for the family vehicle.



I received a call Monday from DADS staff stating that our annual Local Authority quality management survey would be conducted January 23 – 26, 2012. In the coming weeks, staff will be very busy compiling all the information required for this annual survey. The DADS staff will likely have their exit conference during our January Board meeting.

- Department of State Health Services (DSHS) – DSHS is conducting a financial review December 12-16 and Millie and her staff have been busy compiling documents for their review. Our last DSHS financial review was June 2005 and we only had minor findings.

Tri-County and the Gulf Coast Center submitted our collaborative proposal for Outpatient Competency Restoration funding on October 31<sup>st</sup>. Both Tri-County and the Gulf Coast Center had broad support from their respective communities. We had a conference call with DSHS on November 16<sup>th</sup>, some subsequent follow-up questions **and felt positive about DSHS' response. Although DSHS indicated they would make** their decision about the 5 award recipients promptly, they stated on December 6<sup>th</sup> that the announcements would be made in a week to 10 days.

The Psychiatric Emergency Treatment Center (PETC) now has full capacity and there has been a slow increase in admissions (there has not been significant demand for this treatment in the last few weeks). This cyclical demand is normal and we know that the admissions will increase.

Centers have been the recipient of numerous planned and **"ad hoc" reviews** by DSHS staff, including desk reviews and on-site visits. Our Center has had an on-going review related to one (1) complaint that was lodged by an individual who had previously received services from MHMRA of Harris County. To date, Evan and his staff have spent more than 140 hours compiling information for this review and we received a request for additional information last week. This volume of DSHS reviews/surveys is unprecedented and been the topic of discussion at numerous meetings; however, the Center system has not reached any resolution with DSHS. On December 6<sup>th</sup>, we received notice that the scheduled 4<sup>th</sup> quarter treatment plan review will not occur; the executive directors and quality management staff strongly advocated that this review be cancelled since DSHS is developing a new treatment planning process for FY 2012.

Our substance abuse treatment license expansion application for Huntsville is still pending with DSHS; our recent inquiry with DSHS revealed that it is under review. We are anxious to expand both youth and adult services to Walker County as juvenile probation is particularly interested in referring to our services and we have support from local judges.

- Managed Medicaid Expansion – Our implementation of the expansion has been relatively smooth and staff had done well with these new processes. Staff are

negotiating with some of the managed care companies to include treatment at the PETC as a covered benefit which would benefit the individuals served and the Center. We are also in discussions with MHMRA of Harris County about the next Medicaid pilot, the 1115 waiver proposal, that HHSC is developing and that will impact the individuals that we serve.

- East Texas Behavioral Healthcare Network (ETBHN) – The network continues to pursue regional and statewide managed care contracts but ETBHN staff have not finalized anything as yet. ETBHN is preparing a proposal for submission to the Centers for Medicare and Medicaid in response to their RFP for innovative healthcare improvements, including quality, cost and access.

Additional centers are purchasing the regional authorization services and additional staff capacity has been added to meet this demand. Heart of Texas, Waco, decided to purchase their medications through the ETBHN pharmacy and staff are working with this new customer. The centers in the Ft. Worth and north Texas region are still pursuing a collaborative business relationship with ETBHN and discussions are on-going.

ETBHN had a strategic planning session with key staff from member centers in Georgetown in November and the draft plan for FY 2012-13 is being finalized. Additional training, collaborative projects and consolidations are being considered.

- From the Heart is taking over the administration building as you probably saw. Unfortunately, we did not have as much community response as in previous years, so some of clients/consumers may not receive gifts. We have prioritized those we can help by the level of need indicated on their forms.

On a positive note, we have had more volunteers assisting with wrapping gifts; 3 staff from Splash Town wrapped gifts all day Tuesday.

- The Texas Council Risk Management Fund (TCRMF) held its quarterly Board meeting on November 18<sup>th</sup>, all the incumbent Board of Directors were re-elected and Mary Lou Flynn-DuPart was elected President again. Additionally, the FY 2011 independent audit was presented and accepted by the Board. A summary of the meeting is attached for your convenience.

*Best Wishes for a very Merry Christmas!*



Board Update  
November 2011

The Board of Trustees and Advisory Committee held a regular Board meeting on November 18. Following are some highlights of the meeting.

- The Fund's annual meeting was conducted in conjunction with the November 18 Board meeting. Trustee elections were finalized at that time. The following trustees were reelected by member centers for three-year terms: Gus Harris, Spindletop Center; J.C. Whitten, Texana Center; and Van York, West Texas Centers.
- The Board elected officers for the coming year: Chair, Mary Lou Flynn-DuPart, The Gulf Coast Center; Vice-Chair, Gus Harris, Spindletop Center; Secretary, Harry Griffin, Center for Health Care Services.
- It was announced that Jackie Walker has submitted her resignation from the Fund's Board given her retirement from the MHMR Services for the Concho Valley Board of Trustees.
- The Board received an almost final draft of the 2010-2011 financial audit report prepared by Holtzman Partners, LLP, the Fund's independent financial auditor. The auditors provided an unqualified opinion as to the Fund's financial position.
- The Board and Advisory Committee received an actuarial report that indicates total Fund surplus to be \$25 million as of August 31, 2011. This reflects an overall increase in surplus of \$5.6 million compared to August 31, 2010. Almost all of this increase is due to a reduction in the projected losses for prior year claims.
- The Claims and Loss Control Committee considered the Fund's possible involvement in training for the Prevention and Management of Aggressive Behavior (PMAB). The Committee reviewed the results of a survey of centers that was conducted on this issue and discussed options for centers to obtain this type of training. The Committee recommended that the Fund not take any action on PMAB training at this time pending clarification from the state regarding centers' access to the current PMAB training curriculum.
- The Board and Advisory Committee received an update on the status of the special project related to the employment status of contract service providers. As reported at the previous meeting, this issue has now been resolved in favor of community centers. Attorney Pam Beach has prepared a memorandum that provides guidelines to assist member centers avoid questions in the future about whether contractors used by centers for MR/IDD services could be considered as employees.

The next Board of Trustees meeting will be held on February 10, 2012 in Austin. This meeting will be preceded by a Board training session on February 9.

**CHIEF FINANCIAL OFFICER'S REPORT**  
**December 8, 2011**

**FY 2011 Audit** – As we have reported over the past couple of board meetings, work is still progressing on the FY 2011 audit. At this stage, we are working on the Supplemental (non-audited) statements that are in the back half of the annual audit. This is a very time consuming process, putting the financial information into the various required formats. We should be coming down to the end within the next week or two and we look forward to having a clean audit at the January board meeting.

**Cost Accounting Methodology (CAM)** – We continue to work on the CAM report for the FY 2011 fiscal period. DSHS/DADS require each Center to prepare a CAM Report for the full 12 months of each fiscal year. The due date for the final report is February 28<sup>th</sup>. We are currently analyzing the individual costs and units to ensure that our data is accurate. In January, we will be getting back together with Spindletop and Gulf Coast centers to continue our CAM comparisons. We also have a CAM presentation at the CFO meeting on January 11<sup>th</sup>. Hopefully, this will be helpful to see what issues other centers may have discovered during this year's process.

**Worker's Compensation Audit** – We continue to wait for the final report for the Worker's Compensation Auditor that was on site in September. We have received a couple of calls asking for additional information and we hopefully should be getting the final report at any time.

**FY 2011 HCS, ICF and Texas Home Living Cost Reports** - We have received notification that the Cost Reports for HCS, ICF and Texas Home Living Waiver programs have been delayed until May 1<sup>st</sup>. So we will report back when this process starts in the spring of 2012.

**Real Estate Update** - We still have not received any bids to either lease or purchase the facilities in Cleveland, but they are still listed with the Realtor, Phillip Cameron. And over the past few months we have vacated two other facilities in Conroe. One location is Bryant Road where the Conroe Life Skills program was located and the other building is the William E. Hall building in downtown Conroe. We are in the process of cleaning up these two facilities and hopefully in the next couple of months we will bring to the board a recommendation from staff as to what we should do with these locations.

<b>Agenda Item:</b> Community Resources Report for October & November 2011  <b>Committee:</b> Program	<b>Board Meeting Date</b>  December 8, 2011
<b>Background Information:</b>  None	
<b>Supporting Documentation:</b>  Community Resources Report for October & November 2011	
<b>Recommended Action:</b>  <b>For Information Only</b>	



# ***Community Resources Report***

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## **Volunteer Hours:**

<b>Location</b>	<b>October</b>
Conroe	15
Cleveland	2
Liberty	26
Huntsville	18.5
<b>Total</b>	<b>61.5</b>

## **COMMUNITY ACTIVITIES:**

10/25/11	Aging and Disability Resource Center Meeting	Houston
10/25/11	Montgomery County Mental Health Court Coordination Meeting	Conroe
10/25/11	Montgomery County Association of Business Women Meeting	Conroe
10/26/11	Liberty/Dayton Chamber of Commerce Luncheon	Liberty
10/26/11	Walker County Jail Diversion Meeting	Huntsville
11/1/11	Montgomery County United Way Community Well Being Council Meeting	The Woodlands
11/2/11	Liberty County Community Resource Coordination Group	Dayton
11/3/11	Walker County Community Resource Coordination Group	Huntsville
11/3/11	Cleveland Chamber of Commerce Luncheon	Cleveland
11/3/11	Conroe Chamber Business Expo	Conroe
11/3/11	Drug Impairment Training for Employers	The Woodlands
11/7/11	Montgomery County Mental Health Court Follow Up Coordination Meeting	Conroe
11/9/11	Together Against The Weather Meeting	Huntsville
11/9/11	Montgomery County Homeless Coalition Board Meeting	Conroe
11/9/11	Montgomery County Homeless Coalition General Meeting	Conroe
11/10/11	Huntsville Chamber of Commerce Breakfast	Huntsville
11/12/11	Walk for the Homeless and Chili Cook Off	Conroe
11/15/11	Montgomery County Community Resource Coordination Group	Conroe
11/15/11	Montgomery County United Way Disaster Recovery Taskforce	The Woodlands
11/15/11	Walker County Jail Diversion Meeting	Huntsville
11/15/11	Montgomery County Forensic Hospital Advisory Board	Conroe
11/16/11	Liberty/Dayton Chamber of Commerce Luncheon	Liberty
11/17/11	Adult Protective Services Task Force Meeting	Conroe
11/18/11	Lone Star Human Services Advisory Committee Meeting	The Woodlands
11/22/11	Montgomery County United Way Disaster Recovery Taskforce	The Woodlands
11/22/11	Aging and Disability Resource Center Meeting	Houston
12/1/11	Cleveland Chamber of Commerce Luncheon	Cleveland
12/1/11	Walker County Community Resource Coordination Group	Huntsville
12/2/11	Montgomery County United Way Campaign Cabinet	The Woodlands

12/6/11	Montgomery County United Way Community Well Being Council Meeting	The Woodlands
12/6/11	Montgomery County Managed Assigned Counsel Board Meeting	Conroe
12/7/11	Liberty County Community Resource Coordination Group	Dayton
12/8/11	Walker County Community Resource Coordination Group	Huntsville
12/8/11	Huntsville Chamber of Commerce Breakfast	Huntsville

### **UPCOMING ACTIVITIES:**

12/14/11	Montgomery County United Way Funded Partners Meeting	The Woodlands
12/20/11	Montgomery County Community Resource Coordination Group	Conroe

<b>Agenda Item:</b> Consumer Services Report for October 2011  <b>Committee:</b> Program	<b>Board Meeting Date</b>  December 8, 2011
<b>Background Information:</b>  None	
<b>Supporting Documentation:</b>  Consumer Services Report for October 2011	
<b>Recommended Action:</b>  <b>For Information Only</b>	

# CONSUMER SERVICES REPORT

October 2011

<b>Crisis Services, MH Adults/Children</b>	<b>MONTGOMERY COUNTY</b>	<b>CLEVELAND</b>	<b>LIBERTY</b>	<b>WALKER COUNTY</b>	<b>TOTAL</b>
Persons Screened, Intakes, Other Crisis Services	465	31	23	73	592
Crisis and Transitional Services (SP 0, SP5)	55	5	5	10	75
Psychiatric Emergency Treatment Center (PETC) Served	43	2	4	4	53
Psychiatric Emergency Treatment Center (PETC) bed days	167	17	26	18	228
Total Contract Hospital Admissions	9	0	0	1	10
Total State Hospital Admissions	8	0	0	0	8
<b>Routine Services, MH Adults/Children</b>					
Adult Service Packages (SP 1-4)	673	95	76	96	940
Adult Medication Services	505	69	57	65	696
Child Service Packages (SP 1.1-4)	284	5	5	47	341
Child Medication Services	155	7	3	24	189
TCOOMMI (Adult Only)	88	5	3	7	103
Adult Jail Diversion Services	11	1	0	0	12
Juvenile Detention Diversion Services	0	0	0	0	0
<b>Persons Served by Program, IDD</b>					
Number of New Enrollments for IDD Services	11	0	0	0	11
Service Coordination	409	29	39	50	527
<b>Persons Enrolled in Programs, IDD</b>					
Center Waiver Services (HCS, Supervised Living, TXHmL)	49	7	22	22	100
Contractor Provided ICF-MR	18	12	12	6	48
<b>Substance Abuse Services</b>					
Children and Youth Prevention Services	162	247	0	0	409
Youth Substance Abuse Treatment Services/COPSD	5	0	0	0	5
Adult Substance Abuse Treatment Services/COPSD	24	0	0	1	25
<b>Waiting/Interest Lists as of Month End</b>					
Department of State Health Services-Adults	264	28	39	7	338
Department of State Health Services-Children	5	1	1	1	8
Home and Community Based Services Interest List	1075	94	93	92	1354
<b>Persons Served Outside of the State Contracts</b>					
Benefit Package 3 Adult/Child	38	6	9	8	61
<b>October Served by County</b>					
Adult Mental Health Services	1161	125	104	163	1553
Child Mental Health Services	336	11	7	50	404
Intellectual and Developmental Disabilities Services	466	53	45	60	624
<b>Total Served by County</b>	<b>1963</b>	<b>189</b>	<b>156</b>	<b>273</b>	<b>2581</b>
<b>September Served by County</b>					
Adult Mental Health Services	1253	112	101	166	1632
Child Mental Health Services	325	18	7	50	400
Intellectual and Developmental Disabilities Services	462	45	49	61	617
<b>Total Served by County</b>	<b>2040</b>	<b>175</b>	<b>157</b>	<b>277</b>	<b>2649</b>
<b>August Served by County</b>					
Adult Mental Health Services	1271	144	125	162	1702
Child Mental Health Services	312	20	6	55	393
Intellectual and Developmental Disabilities Services	451	52	43	59	605
<b>Total Served by County</b>	<b>2034</b>	<b>216</b>	<b>174</b>	<b>276</b>	<b>2700</b>

<b>Agenda Item:</b> Program Updates for October 2011  <b>Committee:</b> Program	<b>Board Meeting Date</b>  December 8, 2011
<b>Background Information:</b>  None	
<b>Supporting Documentation:</b>  Program Updates for October 2011	
<b>Recommended Action:</b>  <b>For Information Only</b>	



# **Program Updates**

## **October 2011**

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### **MH Crisis and Admission Services**

- A. Key Statistics:
  - 1. Number of new admissions during the month: 116
  - 2. PETC average daily census: 8.83
- B. Program Comments:
  - 1. Although capacity at the PETC has increased to 16, we have not had enough referrals to serve close to capacity.
  - 2. Inpatient contract hospital admissions increased to 10 in October, primarily due to child admissions.
  - 3. New admission referrals have been increasing, which is creating a challenge to complete intake assessments within 14 days of referral.

### **MH Adult Services**

- A. Key Statistics:
  - 1. Number of adults served during the month: 1553
  - 2. Number of adults served in Medication Services: 696
- B. Program Comments:
  - 1. The William E. Hall (WEH) facility was vacated and those staff have been relocated to River Pointe #5.
  - 2. One of our full time psychiatrists has resigned and we are recruiting for a replacement.
  - 3. The increased time for the new treatment plan process is creating significant challenges for service coordinators to meet productivity and documentation obligations.

### **MH Child Services**

- A. Key Statistics:
  - 1. Number of children served during the month: 404
  - 2. Number of children served in Medication Services: 189
  - 3. We served 2 juveniles in Detention Diversion slots and served a total of 9 juveniles from probation in our MH Child Services.
- B. Program Comments:
  - 1. We have struggled with turnover and trying to fill vacant positions.
  - 2. Child crisis referrals have gone up significantly during the month, likely in conjunction with schools reopening in the fall.

## **Criminal Justice Services**

- A. Key Statistics:
  - 1. Number of Adults Served Through Texas Office on Offenders with Medical and Mental Impairments (TCOOMMI): 98
  - 2. Number of Jail Diversions: 4 Jail Diversions in the month of October
- B. Program Comments:
  - 1. Considerable time was spent working on an application to DSHS for a new Outpatient Competency Restoration Program.
  - 2. Our caseloads are now at capacity as we actively worked to get to the higher numbers required under contract.

## **Substance Abuse Services**

- A. Key Statistics:
  - 1. Number of children served in prevention services: 409
  - 2. Number of adults served in substance abuse/COPSD treatment services:
    - a. Substance Abuse Outpatient = 24
    - b. COPSD = 13
    - c. Total unique clients served = 26
  - 3. Number of children served in substance abuse treatment services: 5
- B. Program Comments:
  - 1. We continue to work with DSHS and local Huntsville officials to get our Huntsville Clinic licensed for expanded substance abuse treatment.
  - 2. Adult referrals from Montgomery County have increased significantly in the last month.
  - 3. We continue to actively recruit and advertise our Youth Treatment Services in order to increase referrals.

## **IDD Services**

- A. Key Statistics:
  - 1. Total number of admissions for the month: 11
  - 2. Total number enrolled in the Home and Community Based Services (HCS) and Texas Home Living (TxHmL) programs for the month: 100
  - 3. Total number served in all IDD services for the month: 624
- B. Program Comments:
  - 1. We have had many challenges to admit the TxHmL clients that were approved by DADS.
  - 2. We are having some turnover in IDD Service Coordinator positions which is impacting productivity and revenue.
  - 3. We are making some service design changes to generate budgeted revenue under the new IDD Service Coordination billing system.

## **Support Information**

- A. **Quality Management:** The QM Department completed a DSHS Medication Review in November.
- B. **Training:** The Texas Council Risk Management Fund staff presented a two day training workgroup, *Communicating Effectively with Staff*, for supervisors and staff members to attend on October 25<sup>th</sup> and 26<sup>th</sup>.
- C. **ETBHN/Regional Authorization:** Texas Panhandle Centers began their authorization trial with ETBHN on November 14<sup>th</sup>.
- D. **Information Services:**
  - 1. The Laserfiche server and client software was successfully installed. Archives and Cleveland Clinic records are currently being scanned and Huntsville and River Pointe will begin in the near future.
  - 2. Multiple configuration changes were made to the network servers to improve stability and speed for Anasazi.
- E. **Intellectual and Developmental Disabilities Planning Network Advisory Committee (IDDPNAC):** A meeting was held on November 9<sup>th</sup> for the IDDPNAC to discuss changes regarding the TxHmL Program and new service limits implemented for the HCS Program.

## **Community Activities**

- A. The Cleveland Advisory Board held a Thanksgiving lunch for consumers on November 21<sup>st</sup> at the Senior Center in Cleveland.
- B. We participated in the Conroe Chamber of Commerce Business Expo, held on November 3<sup>rd</sup>, at the Lone Star Convention Center in Conroe.

<b>Agenda Item:</b> Personnel Report for October 2011  <b>Committee:</b> Executive	<b>Board Meeting Date</b>  December 8, 2011
<b>Background Information:</b>  None	
<b>Supporting Documentation:</b>  Personnel Report for October 2011	
<b>Recommended Action:</b>  <b>For Information Only</b>	

# TRI-COUNTY SERVICES PERSONNEL BOARD REPORT OCTOBER 2011

STAFF CLASSIFICATIONS	NEW HIRES		SEPARATED		VOLUNTARY SEPARATION		INVOLUNTARY SEPARATION		BUDGETED POSITIONS	FILLED POSITIONS	MONTHLY TURNOVER PERCENT	YEARLY TURNOVER PERCENT
	MO.	YTD.	MO.	YTD.	MO.	YTD.	MO.	YTD.				
Bachelor's												
Qualified Mental Health Professionals	2	4	2	5	2	5			78	69	3%	7%
Qualified Developmental Disability Professionals (State Title)			1	1	1	1			12	11	9%	9%
Licensed Staff		2	1	1	1	1			14	12	8%	8%
Medical												
Physicians		1							6	5	0%	0%
Advanced Practice Nurses									2	2	0%	0%
RN's		1		1				1	12	11	0%	9%
LVN's									10	8	0%	0%
Techs/Aides												
MH	1	1		2		1		1	14	10	0%	20%
IDD	2	3	1	8	1	3		5	41	36	3%	22%
Supervisor/Manager												
MH									13	13	0%	0%
IDD									4	4	0%	0%
Program Support		2		1				1	39	37	0%	3%
Central Administration	2	2		1		1			16	16	0%	6%
Business Services									15	15	0%	0%
Maintenance/Janitorial/Lawn				2		1		1	24	22	0%	9%
GRAND TOTALS	7	16	5	22	5	13	0	9	300	271	2%	8%
Previous YTD											1%	2%



<b>Agenda Item:</b> Texas Council Quarterly Board Meeting Update	<b>Board Meeting Date</b>
<b>Committee:</b> Executive	December 8, 2011
<b>Background Information:</b>	
<p>The Texas Council has requested that Center representatives give updates to Trustees regarding their quarterly Board meeting. A verbal update will be given by Patti Atkins.</p>	
<b>Supporting Documentation:</b>	
None	
<b>Recommended Action:</b>	
<b>For Information Only</b>	

<b>Agenda Item:</b> Approve October 2011 Financial Statements	<b>Board Meeting Date</b>  December 8, 2011
<b>Committee:</b> Business	
<b>Background Information:</b>  None	
<b>Supporting Documentation:</b>  October 2011 Financial Statements	
<b>Recommended Action:</b>  <b>Approve October 2011 Financial Statements</b>	

## October 2011 Financial Summary

Revenues for October 2011 were \$1,851,728 and operating expenses were \$1,738,983 resulting in a gain in operations of \$112,746. Capital Expenditures and Extraordinary Expenses for October were \$36,798 resulting in a gain of \$75,948. Total revenues were 99.45% of the monthly budgeted revenues and total expenses were 94.87% of the monthly budgeted expenses.

Year to date revenues are \$3,632,950 and operating expenses are \$3,528,963 leaving excess operating revenues of \$103,987. YTD Capital Expenditures and Extraordinary Expenses are \$76,164 resulting in a gain YTD of \$27,824. Total revenues are 96.41% of the YTD budgeted revenues and total expenses are 94.99% of the YTD budgeted expenses.

### **REVENUES**

YTD Revenue items that are below the budget by more than \$10,000:

Revenue Source	YTD Revenue	YTD Budget	% of Budget	\$ Variance
Case Management IDD – Title XIX	138,824	164,706	84.29%	25,882
Rehab – Title XIX	181,620	269,730	67.34%	88,110
DSHS Crisis - PESC	223,795	287,744	77.78%	63,949
DSHS Gen Rev - NGM	109,770	125,130	87.73%	15,360

**Case Management IDD – Title XIX** – This line item is under budget mainly due to changes in the delivery of this service, and changes in how services are documented and billed. We saw a slight increase in services from September to October and will continue to monitor this line item.

**Rehab – Title XIX** – This line item is under budget due to staff turnover in this area as well as a change in documentation that has been implemented for treatment plans which takes considerably more time than the past documentation requirements. Staff was trained in this process and the amount of time required to complete should decrease.

**DSHS Crisis – PESC** – This line is a cost reimbursement program. This program was under budget in various expenses lines with the largest amount being in the medication expenses line. We anticipate that the expenses will increase as the number of beds increase in this program.

**DSHS Gen Rev – NGM** – This line item reflects the reimbursement of the cost of New Generation Medication. As we have seen over the past couple of years, our expenses for all medications have continued to decrease mainly due to the patient assistant programs that pay for medications for our consumers.

### **EXPENSES**

YTD Individual line expense items that exceed the YTD budget by more than \$10,000:

Expense Source	YTD Expenses	YTD Budget	% of Budget	\$ Variance
Building Repairs & Maintenance	49,265	38,336	128.51%	10,929

**Building Repairs & Maintenance** – This line item is over budget this month due to the replacement of the AC units that were stolen; the expense less deductible will be reimbursed by TCRMF coverage.

**TRI-COUNTY SERVICES**  
**CONSOLIDATED BALANCE SHEET**  
**As of October 31, 2011**

	TOTALS COMBINED FUNDS October 2011	TOTALS COMBINED FUNDS September 2011	Increase (Decrease)
<b>ASSETS</b>			
<b>CURRENT ASSETS</b>			
Imprest Cash Funds	4,725	3,925	800
Cash on Deposit-General Fund	7,140,108	7,447,488	(307,380)
Cash on Deposit-Debt Fund	114,193	3,801	110,393
Accounts Receivable	1,448,997	1,809,095	(360,098)
Inventory	35,066	35,292	(225)
<b>TOTAL CURRENT ASSETS</b>	8,743,090	9,299,601	(556,511)
<b>FIXED ASSETS</b>	6,908,225	5,050,968	1,857,257
<b>OTHER ASSETS</b>	54,173	47,377	6,797
<b>AMOUNT TO BE PROVIDED FOR THE RETIREMENT OF LONG TERM DEBT</b>	-	-	-
<b>TOTAL ASSETS</b>	<u>15,705,488</u>	<u>14,397,945</u>	<u>1,307,543</u>
<b>LIABILITIES, DEFERRED REVENUE, FUND BALANCE</b>			
<b>CURRENT LIABILITIES</b>	1,108,907	1,040,659	68,248
<b>NOTES PAYABLE</b>	417,673	417,673	-
<b>DEFERRED REVENUE</b>	1,820,737	2,612,669	(791,932)
<b>LONG-TERM LIABILITIES FOR</b>			
Line of Credit - Tradition Bank	1,610,861	-	1,610,861
Bond Series 2004	820,000	820,000	-
<b>EXCESS(DEFICIENCY) OF REVENUES OVER EXPENSES FOR</b>			
General Fund	801,751	633,948	167,803
Debt Service Fund	(40,026)	(40,026)	-
<b>FUND EQUITY</b>			
<b>RESTRICTED</b>			
Net Assets Reserved for Debt Service	(2,844,733)	(1,233,872)	(1,610,861)
Reserved for Debt Retirement	1,230,000	1,230,000	-
Reserved for Debt Service	40,026	40,026	-
<b>COMMITTED</b>			
Net Assets-Property and Equipment	6,908,225	5,050,968	1,857,257
Reserved for Board Policy Requirements	879,405	879,405	-
Reserved for Equipment Reserve	354,290	354,290	-
Reserved for Inventory Reserve	32,973	32,973	-
Reserved for Operations and Programs	2,000,000	2,000,000	-
<b>ASSIGNED</b>			
Reserved for Worker's Comp	274,409	274,409	-
Reserved for Current Year Budgeted Reserve	12,332	6,166	6,166
Reserved for Insurance Deductibles	100,000	100,000	-
<b>UNASSIGNED</b>			
Unrestricted and Undesignated	178,658	178,658	-
<b>TOTAL LIABILITIES/FUND BALANCE</b>	<u>15,705,488</u>	<u>14,397,945</u>	<u>1,307,543</u>

**TRI-COUNTY SERVICES**  
**CONSOLIDATED BALANCE SHEET**  
**As of October 31, 2011**

		TOTALS	
		Memorandum Only	
	General Operating Funds	October 2011	PRELIMINARY August 2011
<b>ASSETS</b>			
<b>CURRENT ASSETS</b>			
Imprest Cash Funds	4,725	4,725	3,925
Cash on Deposit-General Fund	7,140,108	7,140,108	5,551,241
Cash on Deposit-Debt Fund	114,193	114,193	437,478
Accounts Receivable	1,448,997	1,448,997	1,584,506
Inventory	35,066	35,066	33,893
<b>TOTAL CURRENT ASSETS</b>	<b>8,743,090</b>	<b>8,743,090</b>	<b>7,611,043</b>
<b>FIXED ASSETS</b>	<b>6,908,225</b>	<b>6,908,225</b>	<b>5,050,968</b>
<b>OTHER ASSETS</b>	<b>54,173</b>	<b>54,173</b>	<b>45,776</b>
<b>AMOUNT TO BE PROVIDED FOR THE RETIREMENT OF LONG TERM DEBT</b>		-	1,720,257
<b>TOTAL ASSETS</b>	<b>15,705,488</b>	<b>15,705,488</b>	<b>14,428,043</b>
<b>LIABILITIES, DEFERRED REVENUE, FUND BALANCES</b>			
<b>CURRENT LIABILITIES</b>	<b>1,108,907</b>	<b>1,108,907</b>	<b>1,052,221</b>
<b>NOTES PAYABLE</b>	<b>417,673</b>	<b>417,673</b>	<b>407,690</b>
<b>DEFERRED REVENUE</b>	<b>1,820,737</b>	<b>1,820,737</b>	<b>141,039</b>
<b>LONG-TERM LIABILITIES FOR</b>			
Line of Credit - Tradition Bank	1,610,861	1,610,861	82,567
Bond Series 2004	820,000	820,000	1,230,000
<b>EXCESS(DEFICIENCY) OF REVENUES OVER EXPENSES FOR</b>			
General Fund	801,751	801,751	902,346
Debt Service Fund	(40,026)	(40,026)	(40,026)
<b>FUND EQUITY</b>			
<b>RESTRICTED</b>			
Net Assets Reserved for Debt service-Restricted	(2,844,733)	(2,844,733)	-
Reserved for Debt Retirement	1,230,000	1,230,000	1,230,000
Reserved for Debt Service	40,026	40,026	477,505
<b>COMMITTED</b>			
Net Assets-Property and Equipment-Committed	6,908,225	6,908,225	5,050,968
Reserved for Board Policy Requirements-Committed	879,405	879,405	879,405
Reserved for Equipment Reserve-Committed	354,290	354,290	354,290
Reserved for Inventory Reserve-Committed	32,973	32,973	32,973
Reserved for Operations and Programs -Committed	2,000,000	2,000,000	2,000,000
<b>ASSIGNED</b>			
Reserved for Worker's Comp-Assigned	274,409	274,409	274,409
Reserved for Current Year Budgeted Reserve -Assigned	12,332	12,332	74,000
Reserved for Insurance Deductibles-Assigned	100,000	100,000	-
<b>UNASSIGNED</b>			
Unrestricted and Undesignated	178,658	178,658	278,658
<b>TOTAL LIABILITIES/FUND BALANCE</b>	<b>15,705,488</b>	<b>15,705,488</b>	<b>14,428,043</b>

**TRI-COUNTY SERVICES**  
**Revenue and Expense Summary**  
**For the Month Ended October 2011**  
**and YTD as of October 2011**

<b>INCOME:</b>	<b>MONTH OF October 2011</b>	<b>YTD October 2011</b>
Local Revenue Sources	183,568	341,066
Earned Income	811,288	1,505,942
General Revenue-Contract	856,872	1,785,942
<b>TOTAL INCOME</b>	<b>1,851,728</b>	<b>3,632,950</b>
<b>EXPENSES:</b>		
Salaries	908,491	1,879,531
Employee Benefits	177,493	367,705
Medication Expense	21,392	47,269
Travel-Board/Staff	27,415	53,295
Building Rent/Maintenance	20,600	50,795
Consultants/Contracts	371,228	735,652
Other Operating Expenses	212,364	394,717
<b>TOTAL EXPENSES</b>	<b>1,738,983</b>	<b>3,528,963</b>
<b>Excess(Deficiency) of Revenues over Expenses before Capital Expenditures</b>	<b>112,746</b>	<b>103,987</b>
<b>CAPITAL EXPENDITURES</b>		
Capital Outlay-FF&E, Automobiles, Building	-	2,569
Capital Outlay-Debt Service Bonds	36,798	73,595
<b>TOTAL CAPITAL EXPENDITURES</b>	<b>36,798</b>	<b>76,164</b>
<b>GRAND TOTAL EXPENDITURES</b>	<b>1,775,780</b>	<b>3,605,126</b>
<b>Excess (Deficiency) of Revenues and Expenses</b>	<b>75,948</b>	<b>27,824</b>

**TRI-COUNTY SERVICES**  
**Revenue and Expense Summary**  
**Compared to Budgeted**  
**Year to Date as of October 2011**

	YTD October 2011	APPROVED BUDGET	Increase (Decrease)
<b>INCOME:</b>			
Local Revenue Sources	341,066	291,087	49,979
Earned Income	1,505,942	1,608,337	(102,395)
General Revenue-Contract	1,785,942	1,869,138	(83,196)
<b>TOTAL INCOME</b>	<b>3,632,950</b>	<b>3,768,562</b>	<b>(135,612)</b>
<b>EXPENSES:</b>			
Salaries	1,879,531	1,900,145	(20,614)
Employee Benefits	367,705	417,188	(49,483)
Medication Expense	47,269	72,200	(24,931)
Travel-Board/Staff	53,295	69,333	(16,038)
Building Rent/Maintenance	50,795	43,804	6,991
Consultants/Contracts	735,652	798,434	(62,782)
Other Operating Expenses	394,717	417,690	(22,973)
<b>TOTAL EXPENSES</b>	<b>3,528,963</b>	<b>3,718,794</b>	<b>(189,831)</b>
<b>Excess(Deficiency) of Revenues over Expenses before Capital Expenditures</b>	<b>103,987</b>	<b>49,768</b>	<b>54,219</b>
<b>CAPITAL EXPENDITURES</b>			
Capital Outlay-FF&E, Automobiles	2,569	3,168	(599)
Capital Outlay-Debt Service Bonds	73,595	73,560	35
<b>TOTAL CAPITAL EXPENDITURES</b>	<b>76,164</b>	<b>76,728</b>	<b>(564)</b>
<b>GRAND TOTAL EXPENDITURES</b>	<b>3,605,126</b>	<b>3,795,522</b>	<b>(190,396)</b>
<b>Excess (Deficiency) of Revenues and Expenses</b>	<b>27,824</b>	<b>(26,960)</b>	<b>54,784</b>

**Debt Service and Fixed Asset Fund:**

Bond Payments Receipts	73,595	73,560	35
Bond Payments Disbursements		-	-
Interest Income			
<b>Excess(Deficiency) of revenues over Expense:</b>	<b>73,595</b>	<b>73,560</b>	<b>35</b>

**TRI-COUNTY SERVICES**  
**Revenue and Expense Summary**  
**Compared to Budget**  
**For the Month Ended October 2011**

<b>INCOME:</b>	<b>MONTH OF October 2011</b>	<b>APPROVED BUDGET</b>	<b>Increase (Decrease)</b>
Local Revenue Sources	183,568	136,544	47,024
Earned Income	811,288	808,441	2,847
General Revenue-Contract	856,872	917,057	(60,185)
<b>TOTAL INCOME</b>	<b>1,851,728</b>	<b>1,862,042</b>	<b>(10,314)</b>
<b>EXPENSES:</b>			
Salaries	908,491	934,278	(25,787)
Employee Benefits	177,493	207,573	(30,080)
Medication Expense	21,392	36,100	(14,708)
Travel-Board/Staff	27,415	34,665	(7,250)
Building Rent/Maintenance	20,600	15,902	4,698
Consultants/Contracts	371,228	392,217	(20,989)
Other Operating Expenses	212,364	212,747	(383)
<b>TOTAL EXPENSES</b>	<b>1,738,983</b>	<b>1,833,482</b>	<b>(94,499)</b>
<b>Excess(Deficiency) of Revenues over Expenses before Capital Expenditures</b>	<b>112,746</b>	<b>28,560</b>	<b>84,186</b>
<b>CAPITAL EXPENDITURES</b>			
Capital Outlay-FF&E, Automobiles	-	1,584	(1,584)
Capital Outlay-Debt Service Bonds	36,798	36,787	11
<b>TOTAL CAPITAL EXPENDITURES</b>	<b>36,798</b>	<b>38,371</b>	<b>(1,574)</b>
<b>GRAND TOTAL EXPENDITURES</b>	<b>1,775,780</b>	<b>1,871,853</b>	<b>(96,073)</b>
<b>Excess (Deficiency) of Revenues and Expenses</b>	<b>75,948</b>	<b>(9,811)</b>	<b>85,759</b>

<b>Debt Service and Fixed Asset Fund:</b>			
Bond Payments Receipts	36,798	36,787	11
Bond Payments Disbursements		-	-
Interest Income			
<b>Excess(Deficiency) of revenues over Expenses</b>	<b>36,798</b>	<b>36,787</b>	<b>11</b>



**TRI-COUNTY SERVICES**  
**Revenue and Expense Summary**  
**With October 2010 Comparative Data**  
**Year to Date as of October 2011**

<b>INCOME:</b>	<b>YTD October 2011</b>	<b>YTD October 2010</b>	<b>Increase (Decrease)</b>
Local Revenue Sources	341,066	484,065	(142,999)
Earned Income	1,505,942	1,732,417	(226,475)
General Revenue-Contract	1,785,942	1,912,382	(126,440)
<b>TOTAL INCOME</b>	<b>3,632,950</b>	<b>4,128,864</b>	<b>(495,914)</b>
<b>EXPENSES:</b>			
Salaries	1,879,531	1,975,559	(96,028)
Employee Benefits	367,705	406,806	(39,101)
Medication Expense	47,269	55,370	(8,101)
Travel-Board/Staff	53,295	61,633	(8,338)
Building Rent/Maintenance	50,795	23,917	26,878
Consultants/Contracts	735,652	756,787	(21,135)
Other Operating Expenses	394,717	359,400	35,317
<b>TOTAL EXPENSES</b>	<b>3,528,963</b>	<b>3,639,472</b>	<b>(110,509)</b>
<b>Excess(Deficiency) of Revenues over Expenses before Capital Expenditures</b>	<b>103,987</b>	<b>489,392</b>	<b>(385,405)</b>
<b>CAPITAL EXPENDITURES</b>			
Capital Outlay-FF&E, Automobiles	2,569	239,923	(237,354)
Capital Outlay-Debt Service Bonds	73,595	77,109	(3,514)
<b>TOTAL CAPITAL EXPENDITURES</b>	<b>76,164</b>	<b>317,032</b>	<b>(240,868)</b>
<b>GRAND TOTAL EXPENDITURES</b>	<b>3,605,126</b>	<b>3,956,504</b>	<b>(351,378)</b>
<b>Excess (Deficiency) of Revenues and Expenses</b>	<b>27,824</b>	<b>172,360</b>	<b>(144,536)</b>

**Debt Service and Fixed Asset Fund:**

Bond Payments Receipts	73,595	77,109	(3,514)
Bond Payments Disbursements			-
Interest Income			-
<b>Excess(Deficiency) of revenues over Expenses</b>	<b>73,595</b>	<b>77,109</b>	<b>(3,514)</b>

**TRI-COUNTY SERVICES**  
**Revenue and Expense Summary**  
**With October 2010 Comparative Data**  
**For the Month October 2011**

<b>INCOME:</b>	<b>MONTH OF October 2011</b>	<b>MONTH OF October 2010</b>	<b>Increase (Decrease)</b>
Local Revenue Sources	183,568	140,337	43,231
Earned Income	811,288	876,370	(65,082)
General Revenue-Contract	856,872	941,376	(84,504)
<b>TOTAL INCOME</b>	<b>1,851,728</b>	<b>1,958,083</b>	<b>(106,355)</b>
<b>EXPENSES:</b>			
Salaries	908,491	981,467	(72,976)
Employee Benefits	177,493	202,415	(24,922)
Medication Expense	21,392	22,421	(1,029)
Travel-Board/Staff	27,415	29,153	(1,738)
Building Rent/Maintenance	20,600	17,982	2,618
Consultants/Contracts	371,228	384,372	(13,144)
Other Operating Expenses	212,364	192,833	19,531
<b>TOTAL EXPENSES</b>	<b>1,738,983</b>	<b>1,830,643</b>	<b>(91,660)</b>
<b>Excess(Deficiency) of Revenues over Expenses before Capital Expenditures</b>	<b>112,746</b>	<b>127,440</b>	<b>(14,694)</b>
<b>CAPITAL EXPENDITURES</b>			
Capital Outlay-FF&E, Automobiles	-	1,366	(1,366)
Capital Outlay-Debt Service Bonds	36,798	44,819	(8,022)
<b>TOTAL CAPITAL EXPENDITURES</b>	<b>36,798</b>	<b>46,185</b>	<b>(9,388)</b>
<b>GRAND TOTAL EXPENDITURES</b>	<b>1,775,780</b>	<b>1,876,828</b>	<b>(101,048)</b>
<b>Excess (Deficiency) of Revenues and Expenses</b>	<b>75,948</b>	<b>81,255</b>	<b>(5,307)</b>

**Debt Service and Fixed Asset Fund:**

Bond Payments Receipts	36,798	44,819	(8,022)
Bond Payments Disbursements			-
Interest Income			-
<b>Excess(Deficiency) of revenues over Expenses</b>	<b>36,798</b>	<b>44,819</b>	<b>(8,022)</b>

**TRI-COUNTY SERVICES**  
**Revenue and Expense Summary**  
**With September 2011 Comparative Data**  
**As of October 2011**

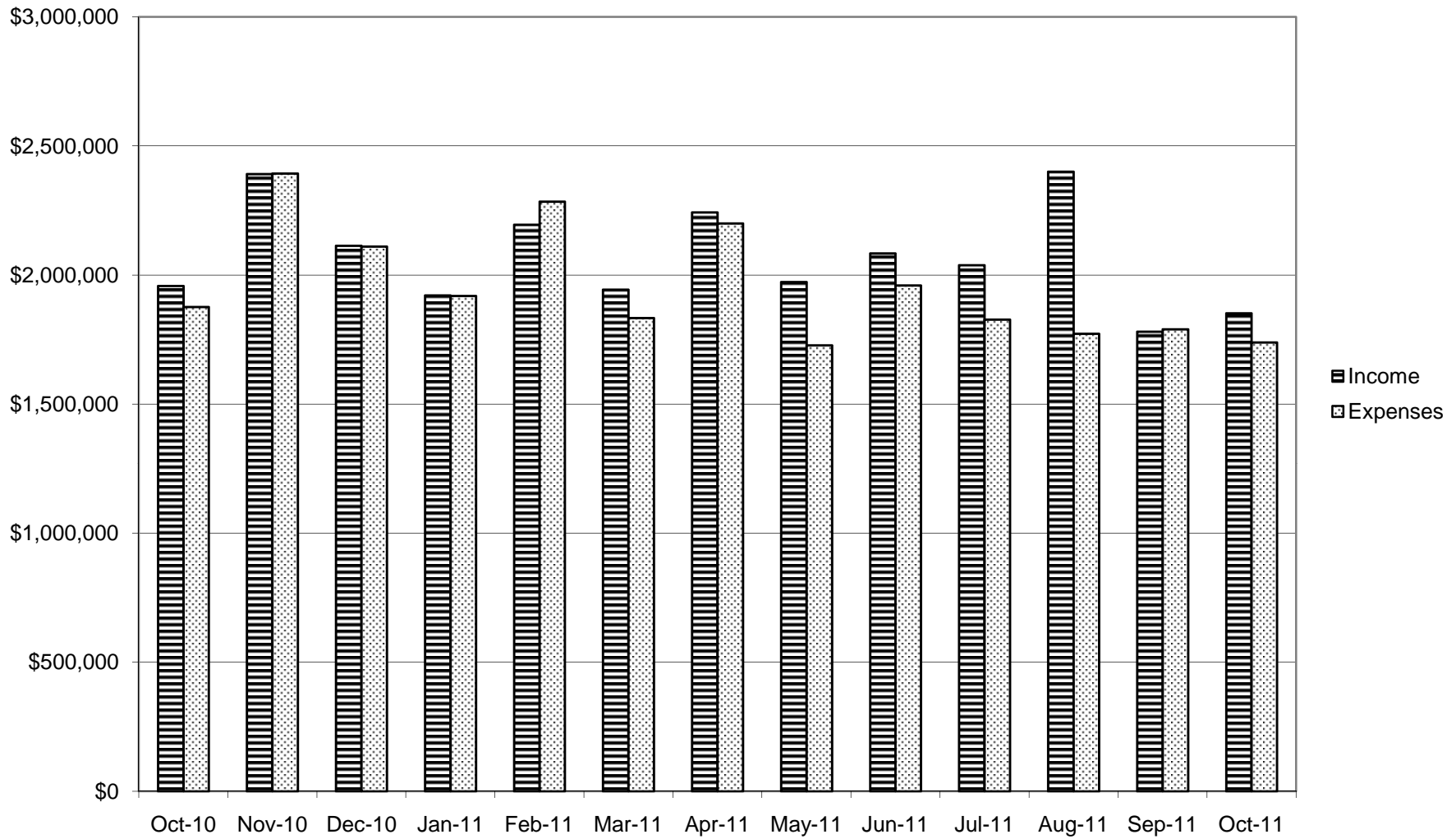
<b>INCOME:</b>	<b>MONTH OF October 2011</b>	<b>MONTH OF September 2011</b>	<b>Increase (Decrease)</b>
Local Revenue Sources	183,568	157,498	26,070
Earned Income	811,288	694,654	116,634
General Revenue-Contract	856,872	929,070	(72,198)
<b>TOTAL INCOME</b>	<b>1,851,728</b>	<b>1,781,222</b>	<b>70,507</b>
<b>EXPENSES:</b>			
Salaries	908,491	971,040	(62,548)
Employee Benefits	177,493	190,212	(12,719)
Medication Expense	21,392	25,877	(4,485)
Travel-Board/Staff	27,415	25,880	1,534
Building Rent/Maintenance	20,600	30,195	(9,595)
Consultants/Contracts	371,228	364,424	6,805
Other Operating Expenses	212,364	182,353	30,012
<b>TOTAL EXPENSES</b>	<b>1,738,983</b>	<b>1,789,980</b>	<b>(50,997)</b>
<b>Excess(Deficiency) of Revenues over Expenses before Capital Expenditures</b>	<b>112,746</b>	<b>(8,758)</b>	<b>121,504</b>
<b>CAPITAL EXPENDITURES</b>			
Capital Outlay-FF&E, Automobiles	-	2,569	(2,569)
Capital Outlay-Debt Service Bonds	36,798	36,798	-
<b>TOTAL CAPITAL EXPENDITURES</b>	<b>36,798</b>	<b>39,366</b>	<b>(2,569)</b>
<b>GRAND TOTAL EXPENDITURES</b>	<b>1,775,780</b>	<b>1,829,346</b>	<b>(53,566)</b>
<b>Excess (Deficiency) of Revenues and Expenses</b>	<b>75,948</b>	<b>(48,125)</b>	<b>124,073</b>

<b>Debt Service and Fixed Asset Fund:</b>			
Bond Payments Receipts	36,798	36,798	-
Bond Payments Disbursements			-
Interest Income			
<b>Excess(Deficiency) of revenues over Expenses</b>	<b>36,798</b>	<b>36,798</b>	<b>-</b>

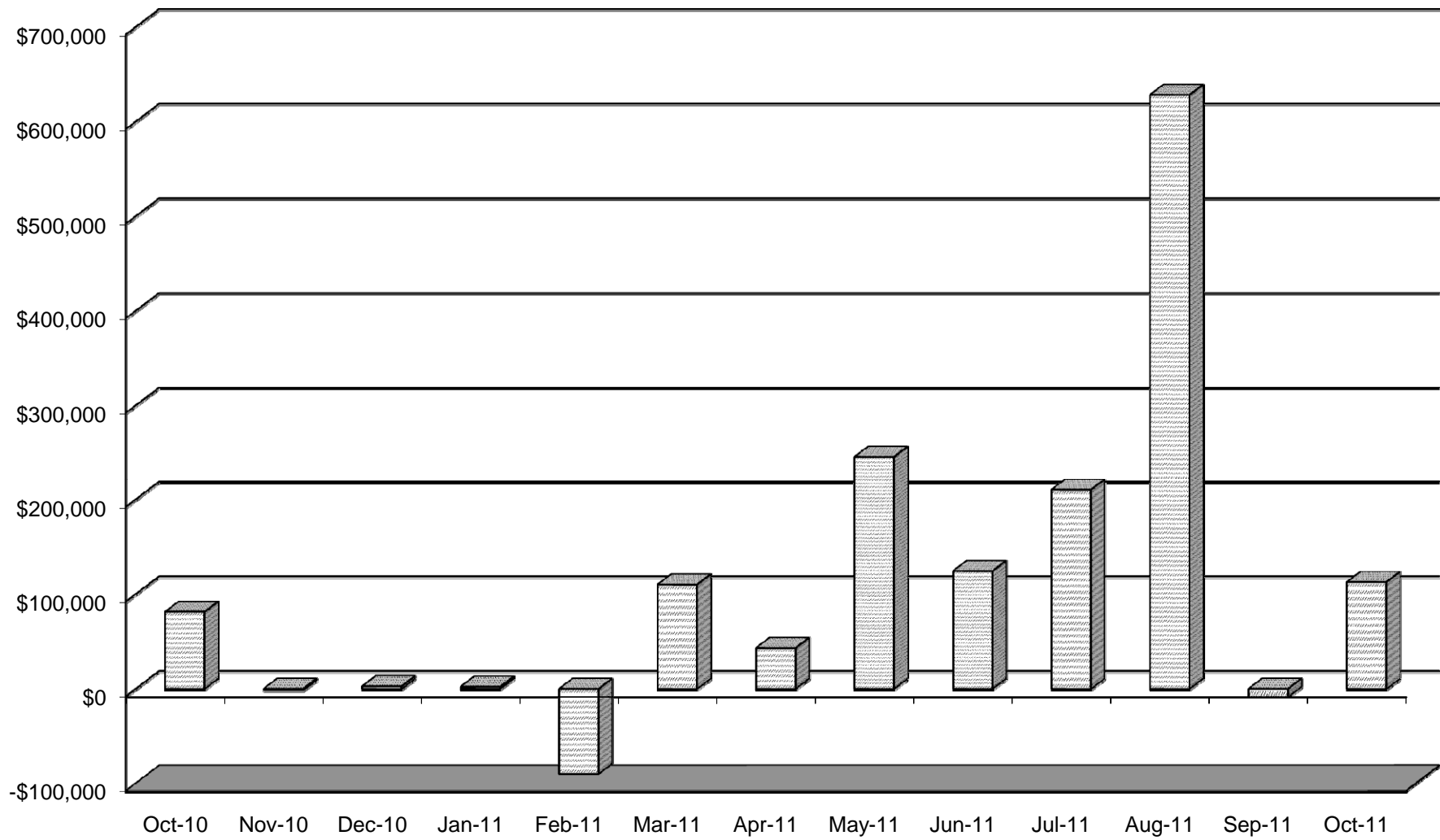
**TRI-COUNTY SERVICES**  
**Revenue and Expense Summary by Service Type**  
**Compared to Budget**  
**As of YTD Ended October 31, 2011**

	YTD Mental Health October 2011	YTD IDD October 2011	YTD Other Services October 2011	YTD Agency Total October 2011	YTD Approved Budget October 2011	Increase (Decrease)
<b>INCOME:</b>						
Local Revenue Sources	326,422	(6,409)	21,052	341,066	291,087	49,979
Earned Income	322,339	989,221	194,383	1,505,942	1,608,337	(102,395)
General Revenue-Contract	1,574,605	211,336	-	1,785,942	1,869,138	(83,196)
<b>TOTAL INCOME</b>	<b>2,223,366</b>	<b>1,194,148</b>	<b>215,435</b>	<b>3,632,950</b>	<b>3,768,562</b>	<b>(135,612)</b>
<b>EXPENSES:</b>						
Salaries	1,394,928	358,658	125,944	1,879,531	1,900,145	(20,614)
Employee Benefits	266,602	77,428	23,675	367,705	417,188	(49,483)
Medication Expense	46,358	-	910	47,269	72,200	(24,931)
Travel-Board/Staff	33,893	14,668	4,734	53,295	69,333	(16,038)
Building Rent/Maintenance	40,662	10,133	-	50,795	43,804	6,991
Consultants/Contracts	108,174	609,625	17,852	735,652	798,434	(62,782)
Other Operating Expenses	277,496	71,650	45,571	394,717	417,690	(22,973)
<b>TOTAL EXPENSES</b>	<b>2,168,113</b>	<b>1,142,162</b>	<b>218,686</b>	<b>3,528,965</b>	<b>3,718,794</b>	<b>(189,830)</b>
<b>Excess(Deficiency) of Revenues over Expenses before Capital Expenditures</b>	<b>55,253</b>	<b>51,986</b>	<b>(3,251)</b>	<b>103,984</b>	<b>49,768</b>	<b>54,218</b>
<b>CAPITAL EXPENDITURES</b>						
Capital Outlay-FF&E, Automobiles	2,183	385	-	2,569	3,168	(599)
Capital Outlay-Debt Service Bonds	48,340	18,751	6,505	73,595	73,560	35
<b>TOTAL CAPITAL EXPENDITURES</b>	<b>50,523</b>	<b>19,136</b>	<b>6,505</b>	<b>76,164</b>	<b>76,728</b>	<b>(564)</b>
<b>GRAND TOTAL EXPENDITURES</b>	<b>2,218,636</b>	<b>1,161,298</b>	<b>225,191</b>	<b>3,605,129</b>	<b>3,795,522</b>	<b>(190,394)</b>
<b>Excess (Deficiency) of Revenues and Expenses</b>	<b>4,730</b>	<b>32,850</b>	<b>(9,756)</b>	<b>27,824</b>	<b>(26,960)</b>	<b>54,782</b>
<b>Debt Service and Fixed Asset Fund:</b>						
Bond Payments Receipts	48,340	18,751	6,505	73,595	73,560	(25,220)
Bond Payments Disbursements	-	-	-	-	-	-
Interest Income	-	-	-	-	-	-
<b>Excess(Deficiency) of revenues over Expenses</b>	<b>48,340</b>	<b>18,751</b>	<b>6,505</b>	<b>73,595</b>	<b>73,560</b>	<b>(25,220)</b>

# TRI-COUNTY SERVICES Income and Expense



**TRI-COUNTY SERVICES**  
**Income after Expenses**



<p><b>Agenda Item:</b> Approve Banking Services Contract with JPMorgan Chase Bank, N.A.</p> <p><b>Committee:</b> Business</p>	<p><b>Board Meeting Date</b></p> <p>December 8, 2011</p>
<p><b>Background Information:</b></p> <p>Tri-County Services has a Depository Contract with JPMorgan Chase Bank, N.A. dating from September 1, 2005 to August 31, 2008. Additionally, a two-year renewal letter was signed in August 2008. Since then, we have had three different account representatives and unfortunately are late in submitting a renewal letter. Attached is a letter to extend the agreement with JPMorgan Chase Bank for a two-year period ending August 31, 2012.</p>	
<p><b>Supporting Documentation:</b></p> <p>Letter to Extend Agreement with JPMorgan Chase Bank, N.A.</p>	
<p><b>Recommended Action:</b></p> <p><b>Approve Banking Services Contract Extension with JPMorgan Chase Bank, N.A.</b></p>	



December 8, 2011

Mr. Tyrus R. Brailey  
Vice President  
Government Banking  
JPMorgan Chase Bank, N.A.  
712 Main – 9<sup>th</sup> Floor North  
Houston, Texas 77002

RE: Depository Contract

Dear Mr. Brailey:

Pursuant to the depository contract between Tri-County Mental Health and Mental Retardation Services ("Tri-County MHMR") beginning September 1, 2005 and ending August 31, 2008 and the 2 year renewal option signed August 2008, for said contract, please be advised that Tri-County MHMR hereby wishes to extend the contract for an additional 2 year period ending August 31, 2012. All other contract terms remain.

Please return a signed copy of this letter as representation of your agreement to extend the contract.

Sincerely,

Cindy Sill  
Executive Director

\_\_\_\_\_  
Printed Name  
JPMorgan Chase Bank N.A.

\_\_\_\_\_  
Title

\_\_\_\_\_  
Signature  
JPMorgan Chase Bank N.A.

\_\_\_\_\_  
Date



**Agenda Item:** Ratify Huntsville Respite House and Apartment Remodeling Expense

**Board Meeting Date**

December 8, 2011

**Committee:** Business

**Background Information:**

At the October 20<sup>th</sup> Board meeting, the Board was advised that the Home and Community Based Services (HCS) waiver manager had recommended on October 17<sup>th</sup> that the respite house in Huntsville be extensively remodeled so that it could be used by some of our consumers residing in a home in Conroe. These individuals are now receiving their day habilitation services at the Huntsville location since the Conroe program was closed and they must make the 1 to 1 ½ hour round trip each day to receive these services. Once the home is remodeled, the 3 residents would pay their pro rata share of the fair market rent and their share of the utilities. The remodeling expense will be recouped over time through their rental payments.

Our maintenance staff will complete the majority of the work and estimate that cost to complete remodeling will be approximately \$25,000 to \$28,000; this was not included in the FY 2012 budget but we recommended that the work begin as soon as possible.

Additionally, since the respite house would no longer be available for that purpose, the HCS manager also recommended that the apartment at the Huntsville facility also be remodeled so that it can be used for respite care. The 2 bedroom apartment has not been used for residential services in quite some time and **is in need of a "facelift"** to make it suitable for respite services. This included replacing the carpet with VCT, painting and replacing the front door. The estimated cost is \$1,500.

Staff is requesting that the Board ratify these expenses not to exceed \$30,000 and their inclusion in the FY 2012 budget.

**Supporting Documentation:**

None

**Recommended Action:**

**Ratify Expenses, Not to Exceed \$30,000, to Remodel the Huntsville Respite House and Apartment for Use by HCS Consumers and Include This Amount in the FY 2012 Budget**

<b>Agenda Item:</b> Approve Revisions to the Board Policy on Employee Benefits  <b>Committee:</b> Business	<b>Board Meeting Date</b>  December 8, 2011
<b>Background Information:</b>  The Employee Benefits policy has been revised to reflect several necessary revisions that have occurred since the last revision in July 2007.	
<b>Supporting Documentation:</b>  Board Policy F.3 – Employee Benefits, Showing Revisions  Final Board Policy F.3 – Employee Benefits	
<b>Recommended Action:</b>  <b>Approve Revisions to the Board Policy on Employee Benefits</b>	

# TRI-COUNTY ~~MENTAL HEALTH MENTAL RETARDATION~~ SERVICES

## STATEMENT OF POLICY

\_\_\_\_\_  
Len George, Chairman

\_\_\_\_\_  
Date

ORIGINAL EFFECTIVE DATE: October 26, 1989

REVISION DATES: 3/91, 5/91, 9/91, 2/92, 6/93, 9/95, 1/96, 2/96, 8/96, 4/97, 5/99, 1/03, 2/05, 7/07, 1/1/12

SUBJECT: Employee Benefits

It is the policy of the Board of Trustees to provide appropriate benefits to employees of Tri-County ~~Mental Health Mental Retardation~~ Services as are available to employees of the sponsoring bodies, which established Tri-County in Texas Statute 5547-203, Section 3.08, as amended.

Tri-County employees will be eligible for benefits as determined by his/her classification. Employee benefits are detailed in the following sections: Section I-General, and Section II-Leave.

### I. GENERAL BENEFITS

- A. Worker's Compensation Insurance
- B. Professional Liability Insurance
- C. Unemployment Compensation
- D. Medicare Hospital Insurance Withholding Coverage
- E. Health/Life Insurance
- F. Long Term Disability Insurance
- G. Retirement Plan

### II. LEAVE

- A. **PAID TIME OFF (PTO)** – PTO may be used, with supervisor approval, by any eligible employee for the purpose of receiving compensation during the time the employee is off due to illness, vacation, or to attend to personal needs or emergencies. Based on full-time employment, each employee classified as a regular employee will accrue PTO based on their ~~full time equivalent (FTE) and~~ continuous employment as follows:

Length of Employment	Hours Accrued Per Pay Period	Maximum Accrual Per Fiscal Year
1 – 24 months	5 hours	80 hours
25 – 48 months	6.75 hours	120 hours
49 - 72 month	8 hours	160 hours
73 – 108 months	9 hours	180 hours
109 month or more	10 hours	180 hours

**Note:** Physicians will begin employment with no less than 8 hours of PTO or the pro-rata equivalent if part-time through the 72<sup>nd</sup> month of employment. Consultants, part-time hourly employees and temporary employees are not eligible for Paid Time Off.

- B. Employees with at least one year of service may elect to have the Center buy-out a portion of their excess PTO one time per year, depending on their accrual amount as of March 31<sup>st</sup> each year. ~~February 28<sup>th</sup>. In FY 2005, payment will be made by check on May 15<sup>th</sup>. In subsequent years,~~ Payment will be made by check on April 15<sup>th</sup>. Employees may be reimbursed for the number of hours they choose between ten (10) and the maximum for their tenure with the Center. No reimbursement will be made for fewer than ten (10) hours.

Through this plan employees will retain their Minimum PTO Balance after Buy-Out, minimizing the risk of having sufficient PTO in case of the need to be off for an extended period. The chart below details the Buy-Out of Excess PTO plan.

Minimum PTO Hour Balance After Buy-Out	Length of Employment	Hours Accrued Per Pay Period	Maximum Accrual Per Fiscal Year	Maximum Buy-Out Hours
60	12-24 months	5 hours	80 hours	20
95	25-48 months	6.75 hours	120 hours	25
120	49-72 months	8 hours	160 hours	30
120	73-108 months	9 hours	180 hours	35
120	109 months or more	10 hours	180 hours	40

**EXTENDED SICK LEAVE (ESL)** – Hours in excess of the PTO “Maximum Accrual” will automatically be carried over to Extended Sick Leave (ESL) effective August 31 each year. Employees may access his/her ESL for those qualifying events as determined by the Family and Medical Leave Act (FMLA) of 1993 that last more than five (5) consecutive working days or (40) working hours. Additionally, in accordance with the National Defense Authorization Act of 2008, eligible employees are entitled to military leave for caregiver and necessity. Those events are as follows:

- The birth of a child;
- To care for child after birth;

- The adoption of a child;
- To care for a child after adoption;
- The placement of a foster child for foster care;
- To care for a spouse, child, or parent with a serious health condition;
- A serious health condition of the employee that makes the employee unable to perform his/her job duties;
- Military Caregiver Leave, or
- Military Exigency (Necessity) Leave

Employees will not be compensated upon termination for any ESL hours accrued after February 29, 1996. ESL hours accrued prior to March 1, 1996 will be referred to as Prior Extended Sick Leave (PESL) and will be paid to employees at termination of his/her employment at a rate of one (1) hour for each two (2) hours accrued under 520 hours. All PESL hours must be used prior to using ESL hours.

- C. **JURY DUTY** – Leave with full pay will be granted for days a “regular” employee is on active jury duty.
- D. **MILITARY LEAVE** – Leave will be granted to an employee who must be absent from work because of service in the uniformed services as required by the Uniformed Services Employment and Reemployment Rights Act (USERRA) and all military leave will be provided according to the requirements of Title 38, United States Code, Sections 4301.4333 and the National Defense Authorization Act of 2008. In addition, an employee who must be absent from work because of service in the uniformed services will receive full pay for up to 15 working days.
- E. **LEAVE WITHOUT PAY (LWOP)** may be granted to an employee by the supervisor upon request for **no more than five (5) work days (40 hours)** during the first twelve (12) months of employment if the balance of all other appropriate paid leave has been exhausted. The LWOP may be granted for illness or to take care of family emergencies or problems. An exception to this request may be made for training extension requests as outlined in the Required Training procedure. ***The Executive Director may approve additional time for LWOP for critical personnel.***
- F. Employees who have been employed for more than one (1) year and who have exhausted all paid leave time may request up to an additional five (5) days of LWOP for illness or to take care of a family emergency or problem that does not qualify for FML. An exception to this request may be made for training extension requests as outlined in the Required Training procedure. ***The Executive Director may approve additional time for LWOP for critical personnel.***

~~LEAVE WITHOUT PAY (LWOP) may be granted to an employee by the supervisor upon request for no more than 10 work days 80 hours) during the first year (12) months of employment if the balance of all other paid leave has been exhausted. The LWOP may be granted for illness or to take care of family or other emergencies. LWOP in excess of 10 days must be approved by the appropriate Leadership Team member, to the Executive Director, and Human Resource Services (HRS). The employee's position will not be guaranteed for more than 30 days of LWOP during the first 12 months of employment. Employees with one or more years of service may be granted LWOP for Family Medical Leave if the balance of all other paid leave has been exhausted. Final approval or disapproval will be made by the HRS Department after consultation with the appropriate Leadership Team member, and in accordance with established procedure. However, no combination of leave, paid or unpaid, for any reason may exceed 91 days per calendar year.~~

- G. **HOLIDAYS** – Tri-County observes eight (8) holidays (64 hours) per year. Tri-County employees classified as “regular”, unless otherwise specified in procedure, will receive eight (8) hours off or pay for the following holidays observed:

1. Labor Day
2. Thanksgiving Day
3. Day after Thanksgiving Day
4. Christmas Eve
5. Christmas Day
6. New Year's Day
7. Memorial Day
8. Independence Day

As a Performance Incentive award, the Executive Director may authorize an additional Center-wide paid day off if first quarter revenue exceeds expenses and service targets are met. This will be treated like a holiday in all respects (if it falls on a weekend, for those who work residential, for those who handle crises call, etc.)

- H. **VIP DAYS** will be earned by employees classified as “regular”.

1. They will earn two (2) days or sixteen (16) hours on the first day of each fiscal year or date of hire if the date of hire is prior to January 1.
2. Employees hired between January 1 and March 31 will earn one (1) day or eight (8) hours.
3. Employees hired between April 1 and August 31 will not earn a VIP day.
4. Employees who resign and are rehired during the same fiscal year will not earn additional VIP days.
5. Employees will receive a maximum of two (2) VIP days per fiscal year, unless they are awarded additional days through drawings or other special recognition events.

~~VIP DAYS – Employees classified as “regular” will earn two (2) days (16 hours) on the first day of each fiscal year or date of hire if the hire date is prior to January 1<sup>st</sup>. Employees hired after January 1<sup>st</sup> will earn one (1) day (8 hours). VIP Days may be taken off with supervisor approval for any reason the employee deems necessary (i.e., birthday, religious holiday, state or federal holiday [such as Martin Luther King’s birthday, etc.] not recognized by Tri County).~~

I. **ADMINISTRATIVE LEAVE** – Paid leave may be granted for the benefit of Tri-County. Such leave may include:

- Suspension with pay during the period of an investigation into potential wrong doing by an employee, or where a ~~contradiction~~ **contraindication** to continued employment is indicated.
- Administrative Leave will not count against an employee’s leave balance or accruals.

~~EDUCATIONAL LEAVE – Employees with at least one year of service may be reimbursed for tuition for course taken at an accredited college or university for coursework that benefits the Center. Employees are required to work at Tri County for at least one year after receiving reimbursement for each course or refund the amount disbursed through payroll deduction at termination. Seventy five percent of the Education Fund will be allowed for undergraduate and graduate coursework and twenty five percent will be allocated for professional education coursework each year. This benefit will be implemented as provided in the corresponding procedures.~~

J. **COMPENSATORY LEAVE** – Paid leave may be given to an employee in lieu of overtime worked.

K. **FAMILY MEDICAL LEAVE** – Leave as provided by the Family and Medical Leave Act of 1993 will be provided according to the requirements of Public Law 103-3 (HR 1); February 5, 1993 for not more than twelve (12) weeks. Leave requested for more than twelve (12) weeks must be prior approved by the Executive Director or designee. Employees may take this job-protected paid or unpaid leave for up to a total of 12 work weeks in any 12 month period for any of the following qualifying events:

- The birth of a child;
- To care for a child after birth;
- The adoption of a child;
- To care for a child after adoption;
- The placement of a foster child for foster care;
- To care for a spouse, child, or parent with a serious health condition; or
- A serious health condition of the employee that makes the employee unable to perform his/her job duties.

- Military Caregiver Leave
- Military Exigency (Necessity) Leave

- III. The Executive Director will be responsible for assuring that procedures for this policy are developed and implemented.
- IV. Employment At Will – Nothing in this policy shall be interpreted as implying an employment contract or agreement exists between Tri-County and any employee.



## TRI-COUNTY SERVICES

### STATEMENT OF POLICY

\_\_\_\_\_  
Len George, Chairman

\_\_\_\_\_  
Date

ORIGINAL EFFECTIVE DATE:      October 26, 1989

REVISION DATES:    3/91, 5/91, 9/91, 2/92, 6/93, 9/95, 1/96, 2/96, 8/96, 4/97, 5/99, 1/03,  
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<b>Length of Employment</b>	<b>Hours Accrued Per Pay Period</b>	<b>Maximum Accrual Per Fiscal Year</b>
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**Note:** Consultants, part-time hourly employees and temporary employees are not eligible for Paid Time Off.

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  - The adoption of a child;
  - To care for a child after adoption;
  - The placement of a foster child for foster care;
  - To care for a spouse, child, or parent with a serious health condition; or
  - A serious health condition of the employee that makes the employee unable to perform his/her job duties.
  - Military Caregiver Leave
  - Military Exigency (Necessity) Leave
- III. The Executive Director will be responsible for assuring that procedures for this policy are developed and implemented.
- IV. Employment At Will – Nothing in this policy shall be interpreted as implying an employment contract or agreement exists between Tri-County and any employee.

<p><b>Agenda Item:</b> Approve Revisions to the Board Policy on Depositories</p> <p><b>Committee:</b> Business</p>	<p><b>Board Meeting Date</b></p> <p>December 8, 2011</p>
<p><b>Background Information:</b></p> <p>Tri-County Services is required to follow the Texas Government Code for the Public Funds Investment Act. Recently the law changed and now requires that our policy include a procedure to follow if a security loses a required credit rating. This change does not involve CDs. This would affect Tri-County if we have any credit requirements in our list of authorized investments such as A1/P1 commercial paper, Prime bankers acceptances, or A-rated or better state and local securities.</p> <p>Our financial advisor has recommended use of the following language:</p> <p style="padding-left: 40px;">“The Investment Officer shall monitor, on no less than a monthly basis, the credit rating on all authorized investments in the portfolio based upon independent information from a nationally recognized rating agency. If any security falls below the minimum rating required by Policy, the Investment Officer shall immediately sell the security, if possible, regardless of a loss of principal.”</p> <p>Since there was one minor addition to the policy, the document showing revisions was the only backup included for this agenda item.</p>	
<p><b>Supporting Documentation:</b></p> <p>Board Policy E.5 – Depositories, Showing Revisions</p>	
<p><b>Recommended Action:</b></p> <p><b>Approve Revisions to the Board Policy on Depositories</b></p>	

## TRI-COUNTY SERVICES

### STATEMENT OF POLICY

\_\_\_\_\_  
Len George, Chairman

\_\_\_\_\_  
Date

REVISION DATES:   October 31, 1996  
                              December 11, 1997  
                              March 25, 2010  
                              December 8, 2011

SUBJECT: Depositories

Tri-County Services is a public non-profit agency, a unit of local government, established by the local units of government which sponsor its operation and appoint its Board of Trustees. The nine (9) member Board of Trustees is responsible for the administration of Tri-County (Texas Health and Safety Code, Chapter 534, Section 534.008). Entrusted with authority over public funds, it is the intent of the Board of Trustees to handle said funds frugally, responsibly, and in a reasonable fashion to ensure that services are continually provided to citizens of Tri-County. Therefore, the Board adopts the following policies:

- I.     Tri-County shall share the deposit of its revenues amongst the available financial institutions in the Tri-County region based upon the following criteria:
  - A.     Convenience and efficiency for the operation and transaction of Tri-County's business.
  - B.     Quality, accurate and timely service with the lowest possible cost to Tri-County.
- II.    Funds not needed for immediate use shall be handled as follows:

This policy is hereby enacted pursuant to Chapter 2256 (as amended) of the Texas Government Code, the Public Funds Investment Act. The Executive Director is hereby charged with the responsibility of investing any and all funds under the control of Tri-County, and managing prudently and properly the investments. Because these funds may be called upon, it is essential that absolute maturity horizons are identifiable for the purpose of liquidity. Moreover, these funds must be invested only in investments which are appropriately authorized under Chapter 2256, and more specifically within this Investment Policy. This Investment Policy addresses eligible investments, as well as the methods,

procedures, and practices which must be exercised to ensure effective and sound fiscal management.

## **SCOPE**

This policy shall apply to the investment of financial assets of specified funds over which the Center exercises financial control. The specified funds to which this policy shall apply are listed in Appendix I.

## **OBJECTIVES**

The Center's principal investment objectives in order of importance are:

1. Preservation of capital and the protection of investment principal.
2. Maintenance of sufficient liquidity to meet anticipated disbursements and cash flows.
3. Attainment of a rate of return consistent with market condition at the time.

In addition, the Center intends to conform with all Federal, State and other legal requirements, and to avoid incurring unreasonable risks regarding securities owned.

## **DELEGATION OF AUTHORITY**

The ultimate responsibility and authority of investment transactions involving the Center resides with the Executive Director. The Executive Director may appoint other members of the Center's staff to assist him/her in the cash management and investment function. Other persons who are authorized to transact business and wire funds on behalf of the Center are listed in Appendix II to this policy. An outside Investment Advisor may be appointed to assist the Executive Director in the management of Center funds, and may be granted limited investment discretion within the guidelines of this Investment Policy.

The Executive Director shall be responsible for all investment decisions and activities, and shall establish written administrative procedures for the operation of the Center's investment program consistent with this Investment Policy. The investment officer acting within these procedures shall not be held personally liable for specific investment transactions conducted consistent with this Investment Policy.

## **PRUDENCE**

The standard of prudence to be used for managing the Center's assets is the "prudent investor" rule which states, "Investments shall be made with judgment and care, under circumstances then prevailing, which persons of prudence, discretion and intelligence exercise in the management of their own affairs, not for speculation, but for investment considering the probable safety of their capital as well as the probable income to be derived."



## **ELIGIBLE INVESTMENTS**

The Center will limit its investments to the following types of investments:

### **Securities:**

The following direct obligations of the United States Government are authorized investments under this Policy:

1. United States Treasury Obligations (T-Bills, T-Notes, T-Bonds).
2. Treasury Strips (book-entry U.S. Treasury securities whose coupon has been removed) with maturities not exceeding two years.
3. Federal Agencies and Instrumentalities (Restricted to Bonds And Debentures) – the following only:
  - Federal National Mortgage Association (FNMA),
  - Federal Home Loan Bank (FHLB),
  - Federal Home Loan Mortgage Corporation (FHLMC).

Repurchase Agreements secured by direct obligations of the U.S. Government, collateralized at a minimum of 102 percent of the purchase price of the Repurchase Agreement, with the accrued interest accumulated on the collateral included in the calculation.

### **Certificate of Deposit:**

A certificate of deposit is an authorized investment under this Policy if the certificate is issued by a state or national bank domiciled in the State of Texas, a savings and loan association domiciled in the State of Texas, or a state or federal credit union domiciled in the State of Texas, and is:

1. fully guaranteed or insured by the Federal Deposit Insurance Corporation or its successor; or
2. fully guaranteed or insured by the National Credit Union Share Insurance Fund or its successor; or
3. fully secured by Securities described above as eligible investments within this Policy.

### **Commercial Paper:**

Commercial paper is an authorized investment under this Policy if the commercial paper:

1. has a stated maturity of 270 days or less; and
2. is issued on U.S. corporations which are rated A-1 by Moody's or P-1 by Standard & Poor's, or an equivalent rating by at least two nationally recognized credit rating agencies.

### **Mutual Funds:**

No-load money market mutual funds are authorized investments under this policy if the fund is:

1. regulated by the Securities and Exchange Commission; and
2. a fund that includes in its investment objective the maintenance of a stable net asset value of \$1 for each share; and
3. invested exclusively in the obligations approved within this Policy; and
4. rated in the highest rating category by Moody's of AAAM or AAAM-G by Standard & Poor's.

In addition to no-load money market mutual funds, a no-load mutual fund is an authorized investment under this Policy if the mutual fund is:

1. registered by the Securities and Exchange Commission; and
2. has an average weighted maturity of less than two years; and
3. invested exclusively in obligations approved within this Policy; and
4. rated in the highest rating category by Moody's of AAA or AAA by Standard & Poor's.

The Investment Officer shall monitor, on no less than a monthly basis, the credit rating on all authorized investments in the portfolio based upon independent information from a nationally recognized rating agency. If any security falls below the minimum rating required by Policy, the Investment Officer shall immediately sell the security, if possible, regardless of a loss of principal.

### **OTHER INVESTMENTS**

It is the intent of the Board that the foregoing list of authorized securities be strictly interpreted and that any deviation from this list must be pre-approved by the Executive Director in writing.

The Board acknowledges that securities other than those listed above may be owned by the Center at the time this policy is adopted. Existing investments may be liquidated in the normal course of business; however, any new investment transactions shall be made in accordance with the guidelines of this policy.

### **INVESTMENT DIVERSIFICATION**

The Center's objective is to diversify the investment instruments within the portfolio to avoid incurring unreasonable risks inherent in overinvesting in specific instruments, individual financial institutions, or maturities. The asset allocation in the portfolio should, however, be flexible depending upon the outlook for the economy and the securities markets.

The Center may invest to the following maximum limits:

75%	in qualified Money Market Mutual Funds
100%	in U.S. Treasury Obligations
100%	in Repurchase Agreements collateralized by U.S. Treasury Obligations
50%	in Federal Agencies or Instrumentalities
50%	in qualified Certificates of Deposit
25%	in qualified Commercial Paper

## **INVESTMENT MATURITY AND LIQUIDITY**

The Center shall at all times maintain a minimum of 30% of its total investment portfolio in instruments maturing in 90 days or less. The investment maturity schedule shall correspond with the Center's cash flow needs.

Investments, except for Debt Service Reserves used as security for debt service payments on the Center's bonds, shall be limited to maturities not exceeding four years. Investments of Debt Service Reserves shall have a defined maturity not in excess of the final maturity of the bonds for which the reserves serve as security.

## **OTHER INVESTMENT GUIDELINES**

Each investment transaction, other than qualified mutual funds or certificates of deposits used for collateralizing of loan transactions, must be competitively transacted. For the acquisition of a repurchase agreement, a Master Repurchase Agreement must be executed between the Center and a Primary Dealer or financial institution before a repurchase agreement shall be transacted with that institution.

**The purchase and sale of all securities, including repurchase agreements, shall be on a delivery versus payment basis (i.e. moneys will not be released by the Center until securities are received at the Federal Reserve Bank).**

## **SELECTION OF FINANCIAL INSTITUTIONS AND BROKER/DEALERS**

The Executive Director shall maintain a list of authorized broker/dealers and financial institutions which are approved for investment purposes, and it shall be the policy of the Center to purchase securities only from those authorized institutions and firms. To be eligible for authorization, a broker/dealer must:

1. have been given a copy of this Investment Policy; and
2. have received and thoroughly reviewed the Investment Policy of the Center's; and
3. acknowledged in writing that the organization has implemented reasonable procedures and controls in an effort to preclude imprudent investment activities arising out of investment transactions conducted between the Center and the organization; and

4. for the acquisition of repurchase agreements, the dealer must be recognized as a Primary Dealer by the Federal Reserve Bank of New York.

An investment officer of the Center who has a business relationship with an entity seeking to sell an investment to the Center shall file a written statement to the Center's Board of Trustees disclosing that personal business interest prior to conducting business with that entity. An investment officer of the Center who is related, either directly, or indirectly through marriage, to an individual seeking to sell an investment to the investment officer's center shall be required to file with the Texas Ethics Commission as well as providing the above described disclosure to the Center's Board of Trustees prior to conducting business with that individual.

## **SELECTION OF MUTUAL FUNDS**

Mutual Funds shall be selected by reviewing the Prospectus of the fund to determine qualifications as compared to the requirements of this Policy.

## **SAFEKEEPING**

Investment securities purchased by the Center will be delivered by either book entry or physical delivery and held in third-party safekeeping by a Federal Reserve member financial institution designated as the Center's depository. The Center may designate more than one depository.

A Safekeeping Agreement shall be executed with each depository prior to the Center utilizing the depository's services.

It is the intent of the Board that all securities be perfected in the name of the Center. All book entry securities owned by the Center shall be evidenced by:

1. a safekeeping receipt issued to the Center by its custodial bank. This document will be signed by the appropriate officer at the custodian bank and shall state that the securities are held in the Federal Reserve system in a trust department account; and
2. the custodian bank will also furnish to the Center a copy of the delivery advice received by the custodian bank from the Federal Reserve. This document shall state that the name of the customer for whom the securities are held is the Center.

## **REPORTING**

An investment report shall be prepared, at least quarterly, listing all of the investments held by the Center, the current market valuation of the investments, transaction summaries and performance results. The quarterly investment report shall be submitted in a timely manner to the Board of Trustees. A record shall be maintained of all bids and offerings for securities transactions in order to insure that the Center receives competitive pricing.

## **PERFORMANCE REVIEW**

The Executive Director shall annually review the portfolio's adherence to appropriate risk levels and shall compare the portfolio's total return to the established investment objectives and goals.

The Executive Director shall periodically establish a benchmark yield for the Center's investments which shall be equal to the average yield on the U.S. Treasury security which most closely corresponds to the portfolio's actual weighted average maturity. When comparing the performance of the Center's portfolio, all fees and expenses involved with managing the portfolio should be included in the computation of the portfolio's rate of return.

## **PROFESSIONAL SUPPORT SERVICES**

The Executive Director may engage the services of outside professionals to enhance the Center's cash management and investment function. Such professional services may include independent rating services, credit analysis reports, investment advisory services provided by SEC registered firms, third party custodian services, and safekeeping arrangements.

## **ETHICS AND CONFLICTS OF INTEREST**

Officers and employees involved in the investment of the Center's funds shall refrain from personal business activity that could conflict with proper execution of the investment program, or which could impair their ability to make impartial investment decisions. Employees and investment officials shall disclose to the Executive Director any material financial interests in financial institutions that conduct business with the Center, and they shall further disclose any personal financial/investment positions that could be related to the performance of the Center's portfolio. Employees and officers shall subordinate their personal investment transactions to those of the Center, particularly with regard to the timing of purchases and sales.

## **POLICY REVISION**

This Investment Policy will be reviewed annually by the Board of Trustees and may be amended as conditions warrant. The data contained in the Appendices to this document may be updated by the Executive Director as necessary, provided the changes in no way affect the substance or intent of this Investment Policy.

## **APPENDIX I**

### **Funds Covered by the Investment Policy**

This Investment Policy shall apply to all contract and other revenues of the Center, including proceeds from the issuance of bonds (including Debt Service Reserves relating to the bond issues) that may be from time to time authorized by the Board of Trustees.

## **APPENDIX II**

### **Authorized Personnel**

The following persons are authorized to conduct investment transactions and wire transfer funds on behalf of The Center:

<u>Cindy Sill</u>	Executive Director
<u>Millie McDuffey</u>	Chief Financial Officer
<u>Sheryl Baldwin</u>	Business Manager

<b>Agenda Item:</b> Reappoint Independence Communities, Inc. Board of Directors  <b>Committee:</b> Business	<b>Board Meeting Date</b>  December 8, 2011
<b>Background Information:</b>  Mr. Morris Johnson and Mr. Lee Murrah are serving Independence Communities, Inc. Board terms which expire in January 2012. Mr. Johnson serves as the Secretary/Treasurer of the Board. Both have been contacted and are willing to serve an additional two year term, which would expire in January 2014.	
<b>Supporting Documentation:</b>  None	
<b>Recommended Action:</b>  <b>Reappoint Mr. Morris Johnson and Mr. Lee Murrah to Serve on the Independence Communities, Inc. Board of Directors for an Additional Two Year Term Expiring in January 2014</b>	



<b>Agenda Item:</b> Reappoint Montgomery Supported Housing, Inc. Board of Directors  <b>Committee:</b> Business	<b>Board Meeting Date</b>  December 8, 2011
<b>Background Information:</b>  <p>Mrs. Brenda Shuttlesworth, Mr. David Walker and Mrs. Barbara Duren are serving Montgomery Supported Housing, Inc. Board terms which expire in January 2012. Mrs. Shuttlesworth serves as the President, Mr. Walker serves as the 1<sup>st</sup> Vice President and Mrs. Duren serves as the 2<sup>nd</sup> Vice President of the Board. All three have been contacted and are willing to serve an additional two year term, which would expire in January 2014.</p>	
<b>Supporting Documentation:</b>  None	
<b>Recommended Action:</b>  <b>Reappoint Mrs. Brenda Shuttlesworth, Mr. David Walker and Mrs. Barbara Duren to Serve on the Montgomery Supported Housing, Inc. Board of Directors for an Additional Two Year Term Expiring in January 2014</b>	

<b>Agenda Item:</b> Consider Final Close-out with Diamond Commercial Construction for CSU Construction	<b>Board Meeting Date</b>
<b>Committee:</b> Business – Executive Session	December 8, 2011
<b>Background Information:</b>	
Diamond Commercial Construction submitted their final close-out documents to BBK Architects on October 7, 2011 and has been in negotiations since that time. We need to determine the process to reach final agreement with Diamond Commercial Construction.	
<b>Supporting Documentation:</b>	
Will be provided at the meeting	
<b>Recommended Action:</b>	
<b>Consider Final Close-out with Diamond Commercial Construction for CSU Construction and Take Appropriate Action</b>	

<b>Agenda Item:</b> October 2011 Board of Trustees' Unit Financial Statement  <b>Committee:</b> Business	<b>Board Meeting Date</b>  December 8, 2011
<b>Background Information:</b>  None	
<b>Supporting Documentation:</b>  October 2011 Board of Trustees' Unit Financial Statement	
<b>Recommended Action:</b>  <b>For Information Only</b>	

# Unit Financial Statement

FY 2012

	October 11 Actuals	October 11 Budgeted	Variance	YTD Actual	YTD Budget	Variance	Percent	Budget
<b>Revenues</b>								
80103998 Allocated Revenue	\$ 2,803.00	\$ 2,803.00	\$ -	\$ 5,606.00	\$ 5,606.00	\$ -	0.00%	\$ 33,645.00
<b>Total Revenue</b>	\$ 2,803.00	\$ 2,803.00	\$ -	\$ 5,606.00	\$ 5,606.00	\$ -	0.00%	\$ 33,645.00
<b>Expenses</b>								
80105030 Application Fees	\$ -	\$ -	\$ -	\$ 4.50	\$ -	\$ 4.50	0.00%	\$ -
80105275 Food Items	\$ 196.84	\$ 184.00	\$ 12.84	\$ 390.54	\$ 368.00	\$ 22.54	106.13%	\$ 2,200.00
80105320 Insurance-Worker Compensation	\$ 13.52	\$ 19.00	\$ (5.48)	\$ 30.42	\$ 38.00	\$ (7.58)	80.05%	\$ 220.00
80105388 Legal Fees	\$ 1,500.00	\$ 1,500.00	\$ -	\$ 3,000.00	\$ 3,000.00	\$ -	100.00%	\$ 18,000.00
80105415 Miscellaneous Expense	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	0.00%	\$ -
80105605 Postage-Express Mail	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	0.00%	\$ -
80105715 Supplies - Office	\$ 53.00	\$ 15.00	\$ 38.00	\$ 53.00	\$ 30.00	\$ 23.00	176.67%	\$ 180.00
80105750 Training	\$ -	\$ 368.00	\$ (368.00)	\$ -	\$ 736.00	\$ (736.00)	0.00%	\$ 4,425.00
80105755 Travel - Local	\$ 77.77	\$ 100.00	\$ (22.23)	\$ 77.77	\$ 200.00	\$ (122.23)	0.00%	\$ 1,200.00
80105757 Travel - Non-local Mileage/Air	\$ -	\$ 166.00	\$ (166.00)	\$ 393.98	\$ 332.00	\$ 61.98	118.67%	\$ 2,001.00
80105758 Travel - Non-local Hotel	\$ 202.00	\$ 376.00	\$ (174.00)	\$ 568.87	\$ 752.00	\$ (183.13)	75.65%	\$ 4,519.00
80105759 Travel - Meals	\$ 81.33	\$ 75.00	\$ 6.33	\$ 160.58	\$ 150.00	\$ 10.58	107.05%	\$ 900.00
<b>Total Expenses</b>	\$ 2,124.46	\$ 2,803.00	\$ (678.54)	\$ 4,679.66	\$ 5,606.00	\$ (926.34)	83.48%	\$ 33,645.00
<b>Total Revenue minus Expenses</b>	\$ 678.54	\$ -	\$ 678.54	\$ 926.34	\$ -	\$ 926.34	-83.48%	\$ -

<b>Agenda Item:</b> Montgomery Supported Housing, Inc. (MSHI) Quarterly Update  <b>Committee:</b> Business	<b>Board Meeting Date</b>  December 8, 2011
<b>Background Information:</b>  <p>The Final Closing has been delayed several times, but we were notified by HUD on Wednesday, November 30<sup>th</sup> that the Final Closing was completed and the approved funds were in the bank. Staff is still awaiting the final approved Request for Reimbursement from HUD before writing checks, but construction related bills should be paid off soon. Staff would like to thank the MSHI Board of Directors and especially, Mrs. Brenda Shuttlesworth, for signing many documents related to the closing.</p> <p>Due to technical problems at HUD, McDougal Property Management has yet to be able to draw down Project Rental Assistance Contract funds for daily operations of the apartments. McDougal has been using some of the funds provided by Tri-County to cover their expenses in the interim. Tri-County and McDougal staff have had conversations with HUD and we expect to have payment soon.</p> <p>McDougal has hired a new Property Manager, Beth Brotherton, for Independence Place. Staff would like to recognize Jenet Genwright, the manager from Independence Village, who worked countless hours covering both sites during the last few months.</p> <p>The apartments remain full and there are 14 approved individuals on the waiting list.</p>	
<b>Supporting Documentation:</b>  None	
<b>Recommended Action:</b>  <b>For Information Only</b>	

# UPCOMING MEETINGS

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Merry Christmas and Happy New Year!!

## **January 26, 2012 - Board Meeting**

- Approve Minutes from December 8, 2011 Board Meeting
- Recognition and Program Presentation - *From The Heart*
- 1<sup>st</sup> Quarter FY 2012 Corporate Compliance & Quality Management Report
- 2<sup>nd</sup> Quarter FY 2012 Corporate Compliance Training
- Community Resources Report for December 2011
- Consumer Services Reports for November & December 2011
- Program Updates for November & December 2011
- Year to Date Goals & Objectives Progress Report
- Personnel Reports for November & December 2011
- Texas Council Quarterly Meeting Update
- Approve FY 2011 Independent Financial Audit
- Approve November & December 2011 Financial Statements
- 1<sup>st</sup> Quarter FY 2012 Investment Report
- Board of Trustees Unit Financial Statements for November & December 2011
- Revisions to the Board Policy on Nepotism
- Other Business Committee Issues

## **February 23, 2012 - Board Meeting**

- Approve Minutes from January 26, 2012 Board Meeting
- Community Resources Report for January 2012
- Consumer Services Report for January 2012
- Program Updates for January 2012
- Program Presentation - Typical Service Activity Day at the PETC
- Personnel Report for January 2012
- Approve January 2012 Financial Statements
- 401(a) Retirement Plan Account Review
- Board of Trustees Unit Financial Statements for January 2012
- Montgomery Supported Housing, Inc. Quarterly Update
- Other Business Committee Issues