

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

**December 13, 2012**



*Serving individuals with mental illness  
and developmental disabilities*

Notice is hereby given that a regular meeting of the Board of Trustees of Tri-County Services will be held on Thursday, December 13, 2012. 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

### **I. Organizational Items**

- A. Chairman Calls Meeting to Order
- B. Public Comment
- C. Quorum
- D. Review & Act on Requests for Excused Absence

### **II. Program Presentation - Huntsville Life Skills Christmas Carolers**

### **III. Presentation of Awards to Consumer Christmas Card Contest Winners**

### **IV. Approve Minutes - October 25, 2012**

### **V. Executive Director's Report - Cindy Sill**

- A. DADS
  - 1. FY 2013 Funding
  - 2. Target Achievement
- B. DSHS
  - 1. Prescribing Practices Review
  - 2. Rusk Diversion Contract
  - 3. Texas Resilience & Recovery
- C. Medicaid 1115 Transformation Waiver Status Report
- D. ETBHN
  - 1. Tele-psychiatry
  - 2. Peer Support Grant
- E. 83<sup>rd</sup> Legislative Session

### **VI. Chief Financial Officer's Report - Millie McDuffey**

- A. FY 2012 Audit
- B. Conroe Property Update
- C. Cost Accounting Methodology (CAM)
- D. Worker's Compensation Audit
- E. Surplus Vehicle
- F. FEMA Audit
- G. FY 2012 ICF, HCS & TxHmL Cost Reports

### **VII. Program Committee**

#### Action Items

- A. Approve the DSHS Consolidated Local Service Plan for FY 2013-14..... Pages 8-9
- B. Approve the Mental Health Quality Management Plan for FY 2013-14..... Pages 10-11

#### Information Items

- C. Community Resources Report for October 2012..... Pages 12-14
- D. Consumer Services Report for October 2012..... Pages 15-16
- E. Program Updates for October 2012..... Pages 17-20

## VIII. Executive Committee

### Action Items

- A. Consultant Contract with Retiring Executive Director ..... *Page 21*  
B. Selection of New Executive Director ..... *Page 22*

### Information Items

- C. Personnel Reports for October & November 2012 ..... *Pages 23-25*  
D. Texas Council Quarterly Board Meeting Update ..... *Page 26*

## IX. Business Committee

### Action Items

- A. Approve October 2012 Financial Statements ..... *Pages 27-39*  
B. Approve Revised "Charter" Center Plan ..... *Pages 40-80*  
C. Consider Request for Granting of Easement for 117 N. College Ave., Cleveland, TX ..... *Pages 81-84*  
D. Authorize Tri-County Board Officers to Execute HUD Firm Commitment Forms for  
Independence Oaks Apartments, Cleveland, TX ..... *Pages 85-87*  
E. Approve Non-Refundable Option Payment for Independence Oaks Project Site ..... *Page 88*  
F. Reappoint Independence Communities, Inc. Board of Directors ..... *Page 89*  
G. Reappoint Montgomery Supported Housing, Inc. Board of Directors ..... *Page 90*  
H. Reappoint Cleveland Supported Housing, Inc. Board of Directors ..... *Page 91*

### Information Items

- I. Board of Trustees' Unit Financial Statement for October 2012 ..... *Pages 92-93*  
J. Montgomery Supported Housing, Inc. Quarterly Update ..... *Page 94*

## X. Executive Session in Compliance with Texas Government Code Section 551.071, Consultation with Attorney, Section 551.074, Personnel & Section 551.072, Real Property

Posted By:

Stephanie Eveland  
Executive Assistant

# Tri-County Services

P.O. Box 3067  
Conroe, TX 77305

## BOARD OF TRUSTEES MEETING

October 25, 2012

### Board Members Present:

David Walker  
Morris Johnson  
Cecil McKnight  
Janet Qureshi  
Sharon Walker

### Board Members Absent:

Brad Browder  
Tracy Sorensen  
Patti Atkins

### 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  
Stephanie Eveland, Executive Assistant  
Shane Burks, Coordinator of Community Resources  
Chuck Lowman, Staff  
Laurie Frankenfield, Staff  
Mary Lou Flynn-DuPart, Legal Counsel

### Guests:

None

**Call to Order:** Chairman, David Walker, 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 five (5) members present, a quorum was established.

Len George resigned as a member of the Tri-County Services Board of Trustees representing Walker County effective October 10, 2012.



**Resolution #10-12-01**

**Motion Made By:** Cecil McKnight

**Seconded By:** Morris Johnson, with affirmative votes by David Walker, Janet Qureshi and Sharon Walker that it be...

**Resolved:**

That the Board excuse the absence of Brad Browder, Tracy Sorensen and Patti Atkins.

**Resolution #10-12-02**

**Motion Made By:** Morris Johnson

**Seconded By:** Sharon Walker, with affirmative votes by David Walker, Cecil McKnight and Janet Qureshi that it be...

**Resolved:**

That the Board approve the minutes of the September 27, 2012 meeting of the Board of Trustees.

**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 #10-12-03**

**Motion Made By:** Morris Johnson

**Seconded By:** Cecil McKnight, with affirmative votes by David Walker, Janet Qureshi and Sharon Walker that it be...

**Resolved:**

That the Board appoint Lori Lilley to the Mental Health Planning Network Advisory Committee for a two-year term which will expire on August 31, 2014.

**Resolution #10-12-04**

**Motion Made By:** Morris Johnson

**Seconded By:** Cecil McKnight, with affirmative votes by David Walker, Janet Qureshi and Sharon Walker that it be...

**Resolved:**

That the Board appoint Lori Lilley to the Intellectual and Developmental Disabilities Planning Network Advisory Committee for a two-year term which will expire on August 31, 2014.

The Community Resources Report for September 2012 was reviewed for information purposes only.

The Consumer Services Report for September 2012 was reviewed for information purposes only.

The Program Updates for September 2012 were reviewed for information purposes only.

The Regional Planning Network Advisory Committee's FY 2013 Budget Overview was reviewed for information purposes only.

Program Presentation – Chuck Lowman and Laurie Frankenfield presented information regarding the Outpatient Competency Restoration Program.

### **EXECUTIVE COMMITTEE:**

Janet Qureshi recited the Oath of Office.

The Personnel Report for September 2012 was reviewed for information purposes only.

### **BUSINESS COMMITTEE:**

#### **Resolution #10-12-05**

**Motion Made By:** Morris Johnson

**Seconded By:** Cecil McKnight, with affirmative votes by David Walker, Janet Qureshi and Sharon Walker that it be...

#### **Resolved:**

That the Board approve the September 2012 financial statements.

#### **Resolution #10-12-06**

**Motion Made By:** Morris Johnson

**Seconded By:** Cecil McKnight, with affirmative votes by David Walker, Janet Qureshi and Sharon Walker that it be...

#### **Resolved:**

That the Board approve the casting of the election ballot for the incumbents to fill the places of the Texas Council Risk Management Fund's Board of Trustees as follows:

- Place 7: Mr. Hartley Sappington
- Place 8: Mr. LaDoyce Lambert
- Place 9: Mr. Harry Griffin

**Resolution #10-12-07**

**Motion Made By:** Sharon Walker

**Seconded By:** Cecil McKnight, with affirmative votes by David Walker, Morris Johnson and Janet Qureshi that it be...

**Resolved:**

That the Board ratify the FY 2012-13 Department of Aging and Disability Services Contract Amendment #2.

The Board of Trustees' Unit Financial Statement for September 2012 was reviewed for information purposes only.

The regular meeting of the Board of Trustees recessed at 11:35 a.m. to go into Executive Session in compliance with Texas Government Code Section 551.071, Consultation with Attorney and Section 551.074, Personnel.

The meeting of the Board of Trustees reconvened at 12:12 p.m. to go into regular session.

There was no action taken from Executive Session.

The regular meeting of the Board of Trustees adjourned at 12:13 p.m.

**Adjournment:**

**Attest:**

David Walker  
Chairman

Date

Tracy Sorensen  
Secretary

Date

**Executive Director's Report**  
**December 13, 2012**

Information

- The next regularly scheduled Board meeting is January 24, 2013; the annual independent audit will be presented at that time so please make plans to attend.
- This year the National Council conference will be April 8-10<sup>th</sup>, Las Vegas, at the Caesar's Palace Hotel. The super saver discount ends in January so if you have not advised us whether or not you would like to attend, please let Stephanie know by January 2<sup>nd</sup>.
- The next quarterly Texas Council meeting is January 18-19<sup>th</sup> and the executive directors' meeting is the 17-18<sup>th</sup>. We will be visiting our members and/or their staff Friday morning to discuss our legislative priorities.
- The Center will be closed December 24-25<sup>th</sup> in observance of Christmas and January 1<sup>st</sup> in observance of New Year's day; an additional holiday may be granted on December 31<sup>st</sup> according to procedure if all contract requirements are met and excess revenue exceeds expenses by 1%. All crisis services will be operational during the Center holidays.

Operations

- Department of Aging and Disability Services (DADS) -- Centers received official notice yesterday that our allocations would not be reduced by \$5.173M as previously announced and reflected in our contracts; Tri-County's reduction was more than \$112,000. The allocations will be restored to the FY 2012 amounts in the 3<sup>rd</sup> and 4<sup>th</sup> quarters and the target number to be served will increase from 112 to 118. We are currently serving well above our target, 146 as of December 11<sup>th</sup>.

We received unofficial notice that the annual DADS Local Authority review will be January 31<sup>st</sup> through February 1, 2013. We have historically done very well on these reviews.

- Department of State Health Services (DSHS) -- Last year, DSHS began a review of the Center's prescribing practices after a complaint was received from one (1) individual. Staff spent several weeks compiling the data and preparing a plan of correction that included revision of a couple of procedures. DSHS finally accepted the plan of correction after a second submission.

Use of the Rusk State Hospital Diversion contract has been very good and we rarely send any adults to the state hospital. Individuals receiving care at the two (2) private psychiatric hospitals are responding well to treatment and the satisfaction surveys reflect that they are pleased with their care.

DSHS will be implementing revised treatment protocols for adults and youth with mental illness September 1, 2014 and they are providing a series of regional training sessions for staff in these new practices. Our staff are being trained and practicing some of the new methods with individuals in treatment now. We have also established an internal team to guide the Center's preparation for these changes in practice and they report to the Leadership Team on a routine basis.

- Medicaid 1115 Transformation Waiver -- We submitted all of our project plans to both regions and we thought that we would have a short break from the planning process. However, we were notified by both anchors that HHSC wanted additional information that must be submitted as a one (1) page summary. The RHP 2 summary was submitted last week and the RHP 17 summaries will be submitted this week. We have heard that the regional plans may not be approved by CMS until February so the DY1 payments may be delayed until late March. All these timelines are subject to change as we have learned throughout the process.
- East Texas Behavioral Healthcare Network (ETBHN) -- Tri-County is trying to initiate use of the ETBHN tele-psychiatry services but we are having a bit of difficulty with connectivity. We hope to resolve this soon; we have one vacant psychiatry position and another psychiatrist out sick so we are in need of these services.

We were advised that the Hogg Foundation funds should be forthcoming very soon; these funds are financing one of our Peer Support staff and training for both of these staff. We are very pleased to have this service and believe that it is very beneficial for the individuals that we serve.

- The Montgomery County jail requested that we provide training for their staff and we provided this training during all shifts on December 5-6. Captain Ariola wanted his staff to receive training on recognizing mental illness and how to interact with individuals who have this diagnosis.
- The Texas Council Risk Management Fund (TCRMF) held its annual membership meeting on November 30<sup>th</sup> and officers were elected, including Mary Lou Flynn DuPart as President. Other business included discussion about optional lines of coverage for integration primary and behavioral healthcare, review of the actuarial report and approval of the scope of services for a claims audit to be conducted. A summary of the meeting is attached.
- The 83<sup>rd</sup> Legislative Session begins January 8<sup>th</sup> and 300+ bills have already been pre-filed, including a SB57, by Senator Nelson, to integrate behavioral health care into the State's managed Medicaid contracts.

There are several new and/or sophomore members, including 5 new senators, 39 new house members & 35 sophomores house members. Senator Tommy Williams, Chair, Senate Finance, is very busy staffing his office for this new role and all the responsibilities. It is the Senate's session to prepare the budget bill so there is a great deal of work to be done.

The exact FY 2014-15 budget shortfall will not be known until Comptroller Susan Combs announces her revenue forecast for FY 2014-15; however, some state leadership has already stated that the budget will not increase more than \$7B over the current budget. The "budgeted" \$4B FY 2013 Medicaid shortfall may have been resolved by the improving economy; if the shortfall has not been covered, the 83<sup>rd</sup> Legislature will need to quickly pass an emergency appropriation to fund Medicaid, March 1-August 31<sup>st</sup>. Budget factors that must be considered during the process include: the sales tax is 54% of state general revenue so when the economy improves, state revenues increase and vice versa; the "Rainy Day" fund could reach **\$7B** during biennium as result of oil & gas severance tax; and the lawsuit filed by several independent school districts questioning the State's financing of public education.

The Texas Council has adopted their legislative priorities for the session and a copy is attached for your review. The key issues are restoring IDD



funds cut from the last session, addressing waiting lists, adequate reimbursement rates for treatment, promoting Centers as IGT (intergovernmental transfer of funds) entities, and integration of Medicaid behavioral healthcare as proposed by the Texas Council.

Tri-County legislative event at the Capitol

- NAMI Texas day at the Capitol is February 28<sup>th</sup> and a few centers are scheduling their events that day. The 28<sup>th</sup> conflicts with our February Board meeting.
- Day of the week that is best for the majority
- Inviting local elected officials to the event

*Wishing you a very Merry Christmas  
and a Happy New Year*

## **CHIEF FINANCIAL OFFICER'S REPORT**

### **December 13, 2012**

**FY 2012 Audit** – We are in the final stages of audit work with Carlos Taboada on the FY 2012 audit. We are currently working on the Required Supplementary Information Schedules. We are very optimistic that we will be done by the middle of next week. As of this time, there have been no areas of concern that have been brought to our attention so all is going very well.

**Conroe Property Update** – We have signed an addendum to extend the listing period through June 30, 2013 for the property on Bryant Road and on Thompson Street here in Conroe. We have had some interest in both properties but no official offers at this time. We did have some interest expressed from a local organization that wants to have a homeless shelter at either location which I will summarize at the Board meeting.

**Cost Accounting Methodology (CAM)** – We continue to work on the CAM report for the FY 2012 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>. DSHS continues to require a preliminary report submitted at the end of January. We have met with most of the program managers to go over their section of data and corrections have been made where needed. We will continue to review the service data and costs and will be ready for submission by the above mentioned due dates.

**Worker's Compensation Audit** – We have not yet received a final report regarding the annual Worker's Compensation audit. Hopefully, it will be completed by the next Board meeting.

**Surplus Vehicles** – Since the last Board meeting, we were able to sell the wheelchair van at auction. We received \$1,855.

**FEMA Audit** – Last summer, we were notified of a review of our Hurricane Ike FEMA project for the administration building claim. We have provided all the requested documentation for proof of claim and payments to vendors for work completed. Hopefully, we should have their final determination regarding this review very soon.

**FY 2012 ICF, HCS, and TxHmL Cost Reports** – We have received notification from HHSC regarding required training for completion of the FY 2012 cost reports for ICF, HCS and TxHmL programs. On-line training will begin on January 1<sup>st</sup> and continue on until October 31<sup>st</sup>. On-site classroom based training will be held in Austin on January 17<sup>th</sup> and February 20<sup>th</sup>. The due date for these cost reports have not been given as of this time. The FY 2011 cost reports were due in August on 2012 so it could be around that date.

<b>Agenda Item:</b> Approve the DSHS Consolidated Local Service Plan for FY 2013-2014	<b>Board Meeting Date</b>
<b>Committee:</b> Program	December 13, 2012
<b>Background Information:</b>	
<p>It is a contract requirement for Community Centers to have a Local Plan in line with the Texas Health and Human Services Strategic Plan. This plan considers local stakeholder input in the planned direction for provided services. Previously, Tri-County had a combined Local Plan for mental health and intellectual and developmental disabilities services, but these plans were split as a result of LPND planning requirements which did not match up with DADS planning requirements.</p>	
<p>The Local Plan deadline was originally in FY 2012, but was delayed a couple of times as the Department of State Health Services (DSHS) made changes to the plan format. Previously, we were required to submit narrative documents for the Local, Jail Diversion, Crisis Services and Quality Management plans. Currently, we are only required to submit the newly created DSHS Consolidated Local Service Plan (CLSP) Template and a narrative Quality Management plan.</p>	
<p>The format of the DSHS CLSP Template includes a series of checklists and brief explanations of services provided and/or needed in the community. It is designed to include key information required by DSHS for Jail Diversion and Crisis planning needs.</p>	
<p>The full DSHS CLSP will be available for the Board at the meeting. If you would like to review the draft DSHS <b>CLSP Template in its entirety, please see the 'Current Center Plans, Draft Plans' section under the 'About' heading on the Tri-County website, <a href="http://www.tricountyservices.org">www.tricountyservices.org</a>.</b></p>	
<b>Supporting Documentation:</b>	
FY 2013-2014 DSHS Consolidated Local Service Plan Template Summary	
<b>Recommended Action:</b>	
<b>Approve the DSHS Consolidated Local Service Plan for FY 2013-2014</b>	

# FY 2013-2014 Department of State Health Services Consolidated Local Service Plan Template Summary

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For Fiscal Year 2013-2014, the Department of State Health Service (DSHS) has replaced the Local, Jail and Crisis narrative plans of years past with the Consolidated Local Service Plan (CLSP) Template. As a part of our planning process, staff has met with several local stakeholder groups, as well as the Mental Health Planning Network Advisory Committee (MHPNAC) and has solicited surveys from the local community. The information from these meetings was used to complete the CLSP Template. This document includes a series of check boxes and lists which DSHS will use to report information to the Texas Legislative Budget Board, Federal Government agencies (e.g. Substance Abuse and Mental Health Services Administration) and others.

Information included in the Template is:

- Locations for DSHS funded Services;
- Types of stakeholders contacted since the last local planning;
- A list of activities in the community related to diversion of persons with mental illnesses from jails;
- A list of activities in the community related to reducing utilization of state hospital beds;
- A list of other Tri-County activities to address DSHS priorities (e.g. peer services);
- A list of local unmet needs;
- A list of Medicaid 1115 Transformation Waiver Applications in our service area; and,
- An assessment of services associated with the Mental Health Block Grant.

As a result of this local planning process, staff has identified four local priority areas:

1. To continue expanding opportunities for jail and emergency room diversion programs;
2. To develop additional culturally competent staff (Hispanic);
3. To maximize Medicaid 1115 Transformation opportunities; and,
4. To expand the availability of mental health supportive housing.

The process to complete this document was less complex than the previous plans, but DSHS recognizes that other types of local planning may be required for grant writing or to meet other funding requirements. For example, Tri-County will soon be participating in a Medicaid 1115 Transformation Waiver Community Health Assessment for Region 17 as required by the Centers for Medicaid and Medicare Services for the waiver.

The full Consolidated Local Service Plan Template is located on the Tri-County Services website [www.tricountyservices.org/Center-Plans](http://www.tricountyservices.org/Center-Plans).

<p><b>Agenda Item:</b> Approve the Mental Health Quality Management Plan for FY 2013-2014</p> <p><b>Committee:</b> Program</p>	<p><b>Board Meeting Date</b></p> <p>December 13, 2012</p>
<p><b>Background Information:</b></p> <p>In 2006, Tri-County split the Center's Quality Management Plans into a plan for mental health services and a plan for intellectual and developmental disabilities services due to increasingly different expectations for quality management activities in the contracts for Department of State Health Services (DSHS) and Department of Aging and Disability Services (DADS).</p> <p>The Mental Health Quality management plan has been revised for FY 2013-2014 as a part of the bi-annual Mental Health Local Planning process. It includes required language for Substance Abuse prevention and treatment services.</p> <p>The majority of revisions were minor changes of the plan necessitated by DSHS Performance Contract changes or Texas Administrative Code (TAC) changes.</p> <p>A summary of the MH QM is attached for the Board. If you would like to review the draft MH QM Plan in its entirety, please see the 'Current Center Plans, Draft Plans' section under the 'About' heading on the Tri-County website, <a href="http://www.tricountyservices.org">www.tricountyservices.org</a>.</p>	
<p><b>Supporting Documentation:</b></p> <p>Summary of the Mental Health Quality Management Plan for FY 2013-2014</p>	
<p><b>Recommended Action:</b></p> <p><b>Approve the Mental Health Quality Management Plan for FY 2013-2014</b></p>	

**Department of State Health Services  
Quality Management and Utilization Management Plan:  
Summary of Changes for FY 2013-2014**

- Language change – “consumer” is now referred to as an “individual”.
- Language change – “service package” has been changed to “Level of Care (LOC)”.
- References to Resiliency and Disease Management (RDM) have been changed to reflect “current evidence based practices and guidelines” in order to prepare for the rollout of Texas Resilience and Recovery (TRR) which will replace RDM in September 2013. This includes specific references to service packages under the Utilization Review Activities.
- References to Medicaid Administrative Coordinator have been updated to reference the Random Moment in Time Contact for our Center.
- Administrator of Risk Management has been changed to Rights Protection Officer.
- Oversight of Risk Management has been added under the responsibilities of the Administrator of Quality Management.
- Mental Health Corporation of America (MHCA) survey has been discontinued and replaced with an Annual Satisfaction Survey.
- Updated the program review section to reflect changes to the current process.
- Reference to staff credentialing has been updated to reflect the Quality Management Department’s role in this process.
- Tri-County procedure “Notifications and Appeals Process” has been referenced under Utilization Review Activities.
- Updated committee memberships and stakeholder involvement.



<b>Agenda Item:</b> Community Resources Report for October 2012  <b>Committee:</b> Program	<b>Board Meeting Date</b>  December 13, 2012
<b>Background Information:</b>  None	
<b>Supporting Documentation:</b>  Community Resources Report for October 2012	
<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	62
Cleveland	0
Liberty	7
Huntsville	9
<b>Total</b>	<b>78</b>

## **COMMUNITY ACTIVITIES:**

10/29/12	Montgomery County Homeless Coalition Board Meeting	Conroe
11/1/12	Cleveland Chamber of Commerce Luncheon	Cleveland
11/1/12	Walker County Community Resource Coordination Group	Huntsville
11/6/12	Montgomery County Managed Assigned Counsel Board Meeting	Conroe
11/6/12	Montgomery County United Way Well Being Counsel Meeting	The Woodlands
11/6/12	Huntsman Agency Fair	The Woodlands
11/7/12	Liberty County Community Resource Coordination Group	Huntsville
11/7/12	Liberty County Child Fatality Review Team	Liberty
11/7/12	Hispanic Outreach Professional Enrichment Community Networking Event (HOPE)	The Woodlands
11/8/12	Texas Latino Leadership Roundtable	The Woodlands
11/8/12	Huntsville Chamber of Commerce Breakfast	Huntsville
11/10/12	<b>Montgomery County Homeless Coalition "Walk the Walk" and Community Education Day</b>	Conroe
11/12/12	Montgomery County Homeless Coalition By-Law Committee Meeting	Conroe
11/12/12	Montgomery County Homeless Coalition Board Meeting	Conroe
11/13/12	Local Plan Community Input Meeting	Conroe
11/13/12	OCR Support Meeting	Huntsville
11/14/12	Liberty/Dayton Chamber of Commerce Luncheon	Liberty
11/15/12	Adult Protective Services Task Force Meeting	Conroe
11/15/12	Chevron Chemical Health Fair	The Woodlands
11/16/12	Bentwater Fitness Fair	Montgomery
11/19/12	OCR Support Meeting	Conroe
11/20/12	Montgomery County Community Resource Coordination Group	Conroe
11/20/12	Montgomery County United Way Disaster Recovery Taskforce	The Woodlands
11/20/12	Montgomery County Forensic Hospital Advisory Board Meeting	Conroe
11/21/12	Roots of Change Coalition Meeting	Conroe
11/28/12	Montgomery County Homeless Coalition Meeting	Conroe
11/29/12	Adult Protective Services Task Force Meeting	Conroe
11/29/12	1115 Transformation Waiver Survey Team Meeting	Bryan
12/3/12	Montgomery County Homeless Coalition Board Meeting	Conroe
12/4/12	2012 Diversity Summit	The Woodlands
12/5/12	Montgomery County Managed Assigned Counsel Board Meeting	Conroe

12/5/12	Montgomery County Health Information Exchange Board Meeting	Conroe
12/6/12	Walker County Community Resource Coordination Group	Huntsville
12/6/12	Cleveland Chamber of Commerce Luncheon	Cleveland
12/13/12	Huntsville Chamber of Commerce Breakfast	Huntsville
12/13/12	Walker County Child Fatality Review Team	Huntsville
12/13/12	Montgomery County Veterans Court Coordination Meeting	Conroe

### **UPCOMING ACTIVITIES:**

12/18/12	Montgomery County Community Resource Coordination Group	Conroe
12/18/12	Montgomery County Forensic Hospital Advisory Board Meeting	Conroe
12/20/12	Roots of Change Coalition Meeting	Conroe

<b>Agenda Item:</b> Consumer Services Report for October 2012  <b>Committee:</b> Program	<b>Board Meeting Date</b>  December 13, 2012
<b>Background Information:</b>  None	
<b>Supporting Documentation:</b>  Consumer Services Report for October 2012	
<b>Recommended Action:</b>  <b>For Information Only</b>	

# CONSUMER SERVICES REPORT - October 2012

<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	605	40	40	40	<b>725</b>
Crisis and Transitional Services (SP 0, SP5)	71	6	10	3	<b>90</b>
Psychiatric Emergency Treatment Center (PETC) Served	48	8	6	4	<b>66</b>
Psychiatric Emergency Treatment Center (PETC) Bed Days	246	46	45	14	<b>351</b>
Contract Hospital Admissions	0	0	0	0	<b>0</b>
Diversion Admits	8	1	0	0	<b>9</b>
Total State Hospital Admissions	2	1	0	1	<b>4</b>
<b>Routine Services, MH Adults/Children</b>					
Adult Service Packages (SP 1-4)	749	94	85	126	<b>1054</b>
Adult Medication Services	619	59	62	103	<b>843</b>
Child Service Packages (SP 1.1-4)	246	18	18	35	<b>317</b>
Child Medication Services	148	10	5	18	<b>181</b>
TCOOMMI (Adult Only)	88	5	6	16	<b>115</b>
Adult Jail Diversion Services	2	0	0	0	<b>2</b>
Juvenile Detention Diversion Services	3	0	0	0	<b>3</b>
<b>Persons Served by Program, IDD</b>					
Number of New Enrollments for IDD Services	4	0	0	2	<b>6</b>
Service Coordination	445	31	44	55	<b>575</b>
<b>Persons Enrolled in Programs, IDD</b>					
Center Waiver Services (HCS, Supervised Living, TXHmL)	58	7	18	25	<b>108</b>
Contractor Provided ICF-MR	18	12	11	6	<b>47</b>
<b>Substance Abuse Services</b>					
Children and Youth Prevention Services	322	255	0	0	<b>577</b>
Youth Substance Abuse Treatment Services/COPSD	12	0	0	0	<b>12</b>
Adult Substance Abuse Treatment Services/COPSD	29	0	0	0	<b>29</b>
<b>Waiting/Interest Lists as of Month End</b>					
Department of State Health Services-Adults	140	13	18	5	<b>176</b>
Department of State Health Services-Children	16	1	1	0	<b>18</b>
Home and Community Based Services Interest List	1212	102	99	106	<b>1519</b>
<b>Persons Served Outside of the State Contracts</b>					
Benefit Package 3 Adult/Child	45	11	0	5	<b>61</b>
<b>October Served by County</b>					
Adult Mental Health Services	1239	137	116	170	<b>1662</b>
Child Mental Health Services	294	19	9	39	<b>361</b>
Intellectual and Developmental Disabilities Services	496	49	56	64	<b>665</b>
<b>Total Served by County</b>	<b>2029</b>	<b>205</b>	<b>181</b>	<b>273</b>	<b>2688</b>
<b>September Served by County</b>					
Adult Mental Health Services	1204	130	114	159	<b>1607</b>
Child Mental Health Services	278	20	6	35	<b>339</b>
Intellectual and Developmental Disabilities Services	493	48	62	64	<b>667</b>
<b>Total Served by County</b>	<b>1975</b>	<b>198</b>	<b>182</b>	<b>258</b>	<b>2613</b>
<b>August Served by County</b>					
Adult Mental Health Services	1252	127	136	176	<b>1691</b>
Child Mental Health Services	277	19	6	43	<b>345</b>
Intellectual and Developmental Disabilities Services	501	57	52	57	<b>667</b>
<b>Total Served by County</b>	<b>2030</b>	<b>203</b>	<b>194</b>	<b>276</b>	<b>2703</b>

<b>Agenda Item:</b> Program Updates for October 2012  <b>Committee:</b> Program	<b>Board Meeting Date</b>  December 13, 2012
<b>Background Information:</b>  None	
<b>Supporting Documentation:</b>  Program Updates for October 2012	
<b>Recommended Action:</b>  <b>For Information Only</b>	



# Program Updates

## October 2012

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

#### **A. Key Statistics:**

1. Number of new admissions during the month: 152
2. PETC average daily census: 12.96

#### **B. Program Comments:**

1. Our Inpatient Contract for Rusk State Hospital Diversion has increased significantly, now close to the contract average of 5.
2. Our PETC Average Daily Census continues at a high level, but we are trying to reduce the frequency of patients leaving against medical advice.
3. We are struggling to recruit and retain competent technician staff at the PETC.

### **MH Adult Services**

#### **A. Key Statistics:**

1. Number of adults served during the month: 1,662
2. Number of adults served in Medication Services: 843

#### **B. Program Comments:**

1. We have been adjusting to the DSHS contract target for Supported Employment, for FY 13, now having to serve close to 60 per month.
2. We continue to recruit for a vacant Psychiatry position, but are about to implement a televideo contract for Psychiatry Services through East Texas Behavioral Health Network.
3. Our Adult Medicaid Rehabilitation Services continues to reflect high productivity, reflected in revenue above budgeted target YTD.

### **MH Child Services**

#### **A. Key Statistics:**

1. Number of children served during the month: 361
2. Number of children served in Medication Services: 181

#### **B. Program Comments:**

1. We have completed some required DSHS training for the FY 13 contract, and a new training curriculum has been implemented.
2. We have had some unexpected turnover in our Child Rehabilitation positions, but have had some success in recently filling some vacant positions.

3. Child Medicaid Rehabilitation Revenue is below budgeted target for FY 13 as a result of staff turnover and some slowness in school referrals at the beginning of the fiscal year.

### **Criminal Justice Services**

#### **A. Key Statistics:**

1. Number of adults served through Texas Office on Offenders with Medical and Mental Impairments (TCOOMMI): 121 (however, 6 were incarcerated the entire month and are not reflected in Encounter data)
2. Number of jail diversions: 2

#### **B. Program Comments:**

1. Our Jail Diversion Services had a temporary reduction in number of persons served as a result of a brief vacancy in the Jail Diversion Case Manager position.
2. Our Outpatient Competency Restoration Program has served 3 individuals in FY 13 toward a contract target of 17 for the year.
3. Our TCOOMMI caseloads remain full and our Medicaid Revenue is well above the budgeted amount for FY 13.

### **Substance Abuse Services**

#### **A. Key Statistics:**

1. Number of children served in Substance Abuse Prevention Services: 577
2. Number of adults served in Substance Abuse/COPSD Treatment Services:
  - a. Substance Abuse Outpatient: 29
  - b. COPSD: 12
  - c. Total unique clients served: 29
3. Number of children served in Substance Abuse Treatment Services: 12

#### **B. Program Comments:**

1. Our Child Substance Abuse Prevention Services have been active in Montgomery and Liberty County in FY 13, and we have two schools scheduled for services in January for Huntsville.
2. We have recently filled our Youth Substance Abuse Team Leader and this will allow us to serve an increased number of child referrals we have recently received.
3. We have been focusing on serving more individuals in our Co-Occurring Psychiatric and Substance Abuse Services as that program is below target for FY 13.

### **IDD Services**

#### **A. Key Statistics:**

1. Total number of admissions for the month: 6
2. Total number enrolled in the Home and Community Based Services (HCS) and Texas Home Living (TxHmL) Provider Services for the month: HCS = 69 TxHmL = 41
3. Total number served within the department: HCS = 64 TxHmL = 27
4. Total number served in all IDD Services for the month: 665

**B. Program Comments:**

1. Our Life Skills Programs have been busy with seasonal holiday activities in the first quarter of this fiscal year.
2. We are having a significant increase in enrollment and admission to our Texas Home Living Services.
3. We have redesigned our IDD Supported Employment Program and are now seeing an increase in number of services provided.

**Support Information**

**A. Information Services:**

1. Numerous meetings and webinars have been attended and there have been changes made to the Anasazi system in advance of the January 1, 2013 changes in CPT billing codes and doctor/therapist documentation requirements.
2. Additional T-1's were integrated into the Huntsville and Cleveland sites to increase bandwidth which has increased data speed and phone quality.
3. Testing was also completed with ETBHN staff to use video for contract doctor services.

**B. Quality Management:** QM staff is leading a team that is preparing for the change to Texas Resilience and Recovery (TRR). Staff have been involved in a series of training activities and conference calls/webinars related to this transition, and QM staff has begun providing regular updates to the Leadership Team about team activities.

**C. Intellectual and Developmental Disabilities Planning Network Advisory Committee (IDDPNAC):** The IDDPNAC welcomed a new member to the group which brings them back to the required total of 9 PNAC members. The IDDPNAC discussed the benefits to families of newly released Texas Home Living Waiver slots and discussed the enrollment process from family and staff perspectives.

**Community Activities**

- A. On November 6<sup>th</sup>, representatives from Tri-County Services attended the Huntsman agency fair in The Woodlands.
- B. On November 13<sup>th</sup>, representatives from Tri-County Services attended a Montgomery County United Way informational fair at Consolidated Communications in Conroe.
- C. On November 15<sup>th</sup>, representatives from Tri-County Services attended a Health Fair at Chevron Phillips in The Woodlands.
- D. On November 16<sup>th</sup>, representatives from Tri-County Services attended a Health Fair at Bentwater Country Club in Montgomery.

<p><b>Agenda Item:</b> Consultation Contract with Retiring Executive Director</p> <p><b>Committee:</b> Executive</p>	<p><b>Board Meeting Date</b></p> <p>December 13, 2012</p>
<p><b>Background Information:</b></p> <p>As directed by the Board of Trustees, Mary Lou Flynn-DuPart was asked to prepare a consultation contract for the Board's consideration that will be discussed in Executive Session.</p>	
<p><b>Supporting Documentation:</b></p> <p>None, Contract to be Distributed in Executive Session</p>	
<p><b>Recommended Action:</b></p> <p><b>Consider Approval of Consultation Contract with Retiring Executive Director, Cindy Sill</b></p>	

<b>Agenda Item:</b> Selection of New Executive Director  <b>Committee:</b> Executive	<b>Board Meeting Date</b>  December 13, 2012
<b>Background Information:</b>  <p>As you are aware, Cindy Sill, Executive Director announced her retirement at the July 26, 2012 Board meeting with an effective date of January 31, 2013. The Board of Trustees solicited applications through advertisements in the Texas major metropolitan areas, the Tri-County and Texas Council website.</p> <p>After reviewing all the qualified applicants, the Board selected three (3) candidates to interview on Saturday, November 10<sup>th</sup> and selected one candidate as their sole finalist, Evan Roberson. Mary Lou Flynn-DuPart, JW attorney, has prepared the contract for the Board's approval and it will be distributed at the meeting.</p> <p>This item will be discussed in Executive Session.</p>	
<b>Supporting Documentation:</b>  None, Contract to be Distributed in Executive Session	
<b>Recommended Action:</b>  <b>Approve Contract with New Executive Director for Tri-County Services, effective February 1, 2013</b>	

<b>Agenda Item:</b> Personnel Reports for October and November 2012	<b>Board Meeting Date</b>
<b>Committee:</b> Executive	December 13, 2012
<b>Background Information:</b>	
<p>The grand total on the Personnel Report for September <b>was incorrect. Instead of "0%",</b> it should have been 1% (rounded from .74%). The Personnel Report for October is also 1% (rounded from 1.43%).</p>	
<b>Supporting Documentation:</b>	
<p>Personnel Report for October 2012          Personnel Report for November 2012</p>	
<b>Recommended Action:</b>	
<b>For Information Only</b>	



# TRI-COUNTY SERVICES PERSONNEL BOARD REPORT OCTOBER 2012

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	2	2	2			79	73	3%	3%
Qualified Developmental Disability Professionals (State Title)	1	2							15	15	0%	0%
Licensed Staff									18	15	0%	0%
Medical												
Physicians		1							7	5	0%	0%
Advanced Practice Nurses									2	2	0%	0%
RN's									11	9	0%	0%
LVN's									11	8	0%	0%
Techs/Aides												
MH				1		1			17	8	0%	13%
IDD									35	33	0%	0%
Supervisor/Manager												
MH									13	13	0%	0%
IDD									7	7	0%	0%
Program Support	2	3		1		1			40	38	0%	3%
Central Administration									18	18	0%	0%
Business Services									14	14	0%	0%
Maintenance/Janitorial/Lawn	1	1							23	21	0%	0%
GRAND TOTALS	6	11	2	4	2	4	0	0	310	279	1%	1%
Previous YTD											2%	6%

# TRI-COUNTY SERVICES PERSONNEL BOARD REPORT NOVEMBER 2012

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	1	5	2	4		2	2	2	80	71	3%	6%
Qualified Developmental Disability Professionals (State Title)		2							15	15	0%	0%
Licensed Staff									18	14	0%	0%
Medical												
Physicians		1							7	5	0%	0%
Advanced Practice Nurses									2	2	0%	0%
RN's									11	9	0%	0%
LVN's	1	1							10	9	0%	0%
Techs/Aides												
MH				1		1			17	8	0%	13%
IDD	1	1							35	32	0%	0%
Supervisor/Manager												
MH									13	13	0%	0%
IDD									7	7	0%	0%
Program Support		3		1		1			40	38	0%	3%
Central Administration									18	18	0%	0%
Business Services									14	14	0%	0%
Maintenance/Janitorial/Lawn		1							23	21	0%	0%
GRAND TOTALS	3	14	2	6	0	4	2	2	310	276	1%	2%
Previous YTD											3%	9%

<b>Agenda Item:</b> Texas Council Quarterly Board Meeting Update  <b>Committee:</b> Executive	<b>Board Meeting Date</b>  December 13, 2012
<b>Background Information:</b>  The Texas Council has requested that Center representatives give updates to Trustees regarding their quarterly Board meeting. A verbal update will be given by Sharon Walker.	
<b>Supporting Documentation:</b>  None	
<b>Recommended Action:</b>  <b>For Information Only</b>	

<b>Agenda Item:</b> Approve October 2012 Financial Statements  <b>Committee:</b> Business	<b>Board Meeting Date</b>  December 13, 2012
<b>Background Information:</b>  None	
<b>Supporting Documentation:</b>  October 2012 Financial Statements	
<b>Recommended Action:</b>  <b>Approve October 2012 Financial Statements</b>	

### October 2012 Financial Summary

Revenues for October 2012 were \$2,036,966 and operating expenses were \$1,822,181 resulting in a gain in operation of \$214,785. Capital Expenditures and Extraordinary Expenses for October were \$35,250 resulting in a gain of \$179,535. Total revenues were 103.29% of the monthly budgeted revenues and total expenses were 94.52% of the monthly budgeted expenses.

Year to date revenues are \$3,983,160 and operating expenses are \$3,608,007 leaving excess operating revenues of \$375,152. YTD Capital Expenditures and Extraordinary Expenses are \$70,964 resulting in a gain YTD of \$304,188. Total revenues are 101.73% of the YTD budgeted revenues and total expenses are 93.80% of the YTD budgeted expenses.

#### **REVENUES**

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

<b>Revenue Source</b>	<b>YTD Revenue</b>	<b>YTD Budget</b>	<b>% of Budget</b>	<b>\$ Variance</b>
No items to report				

#### **EXPENSES**

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

<b>Expense Source</b>	<b>YTD Expenses</b>	<b>YTD Budget</b>	<b>% of Budget</b>	<b>\$ Variance</b>
No items to report				

**TRI-COUNTY SERVICES  
CONSOLIDATED BALANCE SHEET  
As of October 31, 2012**

	<b>TOTALS COMBINED FUNDS October 2012</b>	<b>TOTALS COMBINED FUNDS September 2012</b>	<b>Increase (Decrease)</b>
<b>ASSETS</b>			
<b>CURRENT ASSETS</b>			
Imprest Cash Funds	5,125	6,017	(892)
Cash on Deposit-General Fund	8,871,028	8,305,004	566,023
Cash on Deposit-Debt Fund	74,502	2,222	72,280
Accounts Receivable	1,313,107	1,391,351	(78,243)
Inventory	5,018	35,373	(30,355)
<b>TOTAL CURRENT ASSETS</b>	<b>10,268,780</b>	<b>9,739,967</b>	<b>528,813</b>
<b>FIXED ASSETS</b>	<b>6,066,064</b>	<b>6,386,044</b>	<b>(319,981)</b>
<b>OTHER ASSETS</b>	<b>41,976</b>	<b>53,974</b>	<b>(11,997)</b>
<b>TOTAL ASSETS</b>	<b>16,376,820</b>	<b>16,179,985</b>	<b>196,835</b>
<b>LIABILITIES, DEFERRED REVENUE, FUND BALANCES</b>			
<b>CURRENT LIABILITIES</b>	<b>881,613</b>	<b>851,425</b>	<b>30,188</b>
<b>NOTES PAYABLE</b>	<b>409,597</b>	<b>417,673</b>	<b>(8,076)</b>
<b>DEFERRED REVENUE</b>	<b>2,098,014</b>	<b>2,208,186</b>	<b>(110,172)</b>
<b>LONG-TERM LIABILITIES FOR</b>			
Line of Credit - Tradition Bank	1,374,008	1,374,008	-
Bond Series 2004	410,000	410,000	-
<b>EXCESS(DEFICIENCY) OF REVENUES OVER EXPENSES FOR</b>			
General Fund	1,404,586	739,954	664,632
Debt Service Fund	-	-	-
<b>FUND EQUITY</b>			
<b>RESTRICTED</b>			
Net Assets Reserved for Debt Service	(2,189,804)	(2,197,880)	8,076
Reserved for Debt Retirement	1,230,000	1,230,000	-
Reserved for Debt Service	-	-	-
<b>COMMITTED</b>			
Net Assets-Property and Equipment	6,066,064	6,386,044	(319,981)
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 Workers' Compensation	274,409	274,409	-
Reserved for Current Year Budgeted Reserve	12,332	80,165	(67,833)
Reserved for Insurance Deductibles	100,000	100,000	-
<b>UNASSIGNED</b>			
Unrestricted and Undesignated	1,039,334	1,039,334	-
<b>TOTAL LIABILITIES/FUND BALANCE</b>	<b>16,376,820</b>	<b>16,179,985</b>	<b>196,835</b>

**TRI-COUNTY SERVICES**  
**CONSOLIDATED BALANCE SHEET**  
**As of October 31, 2012**

	General Operating Funds	TOTALS	
		Memorandum Only	
		October 2012	Preliminary August 2011
<b>ASSETS</b>			
<b>CURRENT ASSETS</b>			
Imprest Cash Funds	5,125	5,125	3,925
Cash on Deposit-General Fund	8,871,028	8,871,028	5,556,400
Cash on Deposit-Debt Fund	74,502	74,502	474,276
Accounts Receivable	1,313,107	1,313,107	1,468,854
Inventory	5,018	5,018	33,893
<b>TOTAL CURRENT ASSETS</b>	10,268,780	10,268,780	7,537,348
<b>FIXED ASSETS</b>	6,066,064	6,066,064	6,386,044
<b>OTHER ASSETS</b>	41,976	41,976	36,364
<b>AMOUNT TO BE PROVIDED FOR THE RETIREMENT OF LONG TERM DEBT</b>		-	1,647,673
<b>TOTAL ASSETS</b>	<b>16,376,820</b>	<b>16,376,820</b>	<b>15,607,427</b>
<b>LIABILITIES, DEFERRED REVENUE, FUND BALANCES</b>			
<b>CURRENT LIABILITIES</b>	881,613	881,613	1,081,898
<b>NOTES PAYABLE</b>	409,597	409,597	417,673
<b>DEFERRED REVENUE</b>	2,098,014	2,098,014	107,127
<b>LONG-TERM LIABILITIES FOR</b>			
Line of Credit - Tradition Bank	1,374,008	1,374,008	1,652,992
Bond Series 2004	410,000	410,000	1,230,000
<b>EXCESS(DEFICIENCY) OF REVENUES OVER EXPENSES FOR</b>			
General Fund	1,404,586	1,404,586	860,675
Debt Service Fund	-	-	(3,229)
<b>FUND EQUITY</b>			
<b>RESTRICTED</b>			
Net Assets Reserved for Debt service-Restricted	(2,189,804)	(2,189,804)	(1,652,992)
Reserved for Debt Retirement	1,230,000	1,230,000	1,230,000
Reserved for Debt Service	-	-	477,505
<b>COMMITTED</b>			
Net Assets-Property and Equipment-Committed	6,066,064	6,066,064	6,386,044
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 Workers' Compensation-Assigned	274,409	274,409	274,409
Reserved for Current Year Budgeted Reserve -Assigned	12,332	12,332	-
Reserved for Insurance Deductibles-Assigned	100,000	100,000	-
<b>UNASSIGNED</b>			
Unrestricted and Undesignated	1,039,334	1,039,334	278,658
<b>TOTAL LIABILITIES/FUND BALANCE</b>	<b>16,376,820</b>	<b>16,376,820</b>	<b>15,607,427</b>

**TRI-COUNTY SERVICES**  
**Revenue and Expense Summary**  
**For the Month Ended October 2012**  
**and YTD as of October 2012**

<b>INCOME:</b>	<b>MONTH OF October 2012</b>	<b>YTD October 2012</b>
Local Revenue Sources	170,789	301,574
Earned Income	858,505	1,668,032
General Revenue-Contract	1,007,673	2,013,554
<b>TOTAL INCOME</b>	<b>2,036,966</b>	<b>3,983,160</b>
<b>EXPENSES:</b>		
Salaries	953,715	1,899,230
Employee Benefits	179,836	358,977
Medication Expense	25,936	43,826
Travel-Board/Staff	32,178	64,411
Building Rent/Maintenance	25,987	60,031
Consultants/Contracts	409,929	812,849
Other Operating Expenses	194,601	368,683
<b>TOTAL EXPENSES</b>	<b>1,822,181</b>	<b>3,608,007</b>
<b>Excess(Deficiency) of Revenues over Expenses before Capital Expenditures</b>	<b>214,785</b>	<b>375,152</b>
<b>CAPITAL EXPENDITURES</b>		
Capital Outlay-FF&E, Automobiles, Building	(232)	-
Capital Outlay-Debt Service Bonds	35,482	70,964
<b>TOTAL CAPITAL EXPENDITURES</b>	<b>35,250</b>	<b>70,964</b>
<b>GRAND TOTAL EXPENDITURES</b>	<b>1,857,432</b>	<b>3,678,972</b>
<b>Excess (Deficiency) of Revenues and Expenses</b>	<b>179,535</b>	<b>304,188</b>



**TRI-COUNTY SERVICES**  
**Revenue and Expense Summary**  
**Compared to Budgeted**  
**Year to Date as of October 2012**

	YTD October 2012	APPROVED BUDGET	Increase (Decrease)
<b>INCOME:</b>			
Local Revenue Sources	301,574	289,365	12,209
Earned Income	1,668,032	1,594,899	73,133
General Revenue-Contract	2,013,554	2,031,104	(17,550)
<b>TOTAL INCOME</b>	<b>3,983,160</b>	<b>3,915,368</b>	<b>67,792</b>
<b>EXPENSES:</b>			
Salaries	1,899,230	1,954,356	(55,126)
Employee Benefits	358,977	387,673	(28,696)
Medication Expense	43,826	56,428	(12,602)
Travel-Board/Staff	64,411	69,073	(4,662)
Building Rent/Maintenance	60,031	56,166	3,865
Consultants/Contracts	812,849	896,809	(83,960)
Other Operating Expenses	368,683	426,010	(57,327)
<b>TOTAL EXPENSES</b>	<b>3,608,007</b>	<b>3,846,515</b>	<b>(238,508)</b>
<b>Excess(Deficiency) of Revenues over Expenses before Capital Expenditures</b>	<b>375,152</b>	<b>68,853</b>	<b>306,299</b>
<b>CAPITAL EXPENDITURES</b>			
Capital Outlay-FF&E, Automobiles	-	25,378	(25,378)
Capital Outlay-Debt Service Bonds	70,964	70,937	27
<b>TOTAL CAPITAL EXPENDITURES</b>	<b>70,964</b>	<b>96,315</b>	<b>(25,351)</b>
<b>GRAND TOTAL EXPENDITURES</b>	<b>3,678,972</b>	<b>3,942,830</b>	<b>(263,858)</b>
<b>Excess (Deficiency) of Revenues and Expenses</b>	<b>304,188</b>	<b>(27,462)</b>	<b>331,650</b>

**Debt Service and Fixed Asset Fund:**

Bond Payments Receipts	70,964	70,937	27
Bond Payments Disbursements		-	-
Interest Income			
<b>Excess(Deficiency) of revenues over Expense:</b>	<b>70,964</b>	<b>70,937</b>	<b>27</b>

**TRI-COUNTY SERVICES**  
**Revenue and Expense Summary**  
**Compared to Budget**  
**For the Month Ended October 2012**

<b>INCOME:</b>	<b>MONTH OF October 2012</b>	<b>APPROVED BUDGET</b>	<b>Increase (Decrease)</b>
Local Revenue Sources	170,789	155,681	15,108
Earned Income	858,505	801,450	57,055
General Revenue-Contract	1,007,673	1,015,049	(7,376)
<b>TOTAL INCOME</b>	<b>2,036,966</b>	<b>1,972,180</b>	<b>64,786</b>
<b>EXPENSES:</b>			
Salaries	953,715	980,176	(26,461)
Employee Benefits	179,836	193,844	(14,008)
Medication Expense	25,936	28,214	(2,278)
Travel-Board/Staff	32,178	34,535	(2,357)
Building Rent/Maintenance	25,987	18,166	7,821
Consultants/Contracts	409,929	450,404	(40,475)
Other Operating Expenses	194,601	211,583	(16,982)
<b>TOTAL EXPENSES</b>	<b>1,822,181</b>	<b>1,916,922</b>	<b>(94,741)</b>
<b>Excess(Deficiency) of Revenues over Expenses before Capital Expenditures</b>	<b>214,785</b>	<b>55,258</b>	<b>159,527</b>
<b>CAPITAL EXPENDITURES</b>			
Capital Outlay-FF&E, Automobiles	(232)	12,689	(12,921)
Capital Outlay-Debt Service Bonds	35,482	35,471	11
<b>TOTAL CAPITAL EXPENDITURES</b>	<b>35,250</b>	<b>48,160</b>	<b>(12,910)</b>
<b>GRAND TOTAL EXPENDITURES</b>	<b>1,857,432</b>	<b>1,965,082</b>	<b>(107,650)</b>
<b>Excess (Deficiency) of Revenues and Expenses</b>	<b>179,535</b>	<b>7,098</b>	<b>172,437</b>

**Debt Service and Fixed Asset Fund:**

Bond Payments Receipts	35,482	35,471	11
Bond Payments Disbursements		-	-
Interest Income			
<b>Excess(Deficiency) of revenues over Expenses</b>	<b>35,482</b>	<b>35,471</b>	<b>11</b>

**TRI-COUNTY SERVICES**  
**Revenue and Expense Summary**  
**With October 2011 Comparative Data**  
**Year to Date as of October 2012**

<b>INCOME:</b>	<b>YTD October 2012</b>	<b>YTD October 2011</b>	<b>Increase (Decrease)</b>
Local Revenue Sources	301,574	341,066	(39,492)
Earned Income	1,668,032	1,505,942	162,090
General Revenue-Contract	2,013,554	1,785,942	227,612
<b>TOTAL INCOME</b>	<b>3,983,160</b>	<b>3,632,950</b>	<b>350,210</b>
<b>EXPENSES:</b>			
Salaries	1,899,230	1,879,531	19,699
Employee Benefits	358,977	367,705	(8,728)
Medication Expense	43,826	47,269	(3,443)
Travel-Board/Staff	64,411	53,295	11,116
Building Rent/Maintenance	60,031	50,795	9,236
Consultants/Contracts	812,849	735,652	77,197
Other Operating Expenses	368,683	394,717	(26,034)
<b>TOTAL EXPENSES</b>	<b>3,608,007</b>	<b>3,528,964</b>	<b>79,043</b>
<b>Excess(Deficiency) of Revenues over Expenses before Capital Expenditures</b>	<b>375,152</b>	<b>103,986</b>	<b>271,166</b>
<b>CAPITAL EXPENDITURES</b>			
Capital Outlay-FF&E, Automobiles	-	2,569	(2,569)
Capital Outlay-Debt Service Bonds	70,964	73,595	(2,631)
<b>TOTAL CAPITAL EXPENDITURES</b>	<b>70,964</b>	<b>76,164</b>	<b>(5,200)</b>
<b>GRAND TOTAL EXPENDITURES</b>	<b>3,678,972</b>	<b>3,605,128</b>	<b>73,844</b>
<b>Excess (Deficiency) of Revenues and Expenses</b>	<b>304,188</b>	<b>27,822</b>	<b>276,366</b>

**Debt Service and Fixed Asset Fund:**

Bond Payments Receipts	70,964	73,595	(2,631)
Bond Payments Disbursements			-
Interest Income			-
<b>Excess(Deficiency) of revenues over Expenses</b>	<b>70,964</b>	<b>73,595</b>	<b>(2,631)</b>

**TRI-COUNTY SERVICES**  
**Revenue and Expense Summary**  
**With October 2011 Comparative Data**  
**Year to Date as of October 2012**

<b>INCOME:</b>	<b>YTD October 2012</b>	<b>YTD October 2011</b>	<b>Increase (Decrease)</b>
Local Revenue Sources	301,574	341,066	(39,492)
Earned Income	1,668,032	1,505,942	162,090
General Revenue-Contract	2,013,554	1,785,942	227,612
<b>TOTAL INCOME</b>	<b>3,983,160</b>	<b>3,632,950</b>	<b>350,210</b>
<b>EXPENSES:</b>			
Salaries	1,899,230	1,879,531	19,699
Employee Benefits	358,977	367,705	(8,728)
Medication Expense	43,826	47,269	(3,443)
Travel-Board/Staff	64,411	53,295	11,116
Building Rent/Maintenance	60,031	50,795	9,236
Consultants/Contracts	812,849	735,652	77,197
Other Operating Expenses	368,683	394,717	(26,034)
<b>TOTAL EXPENSES</b>	<b>3,608,007</b>	<b>3,528,964</b>	<b>79,043</b>
<b>Excess(Deficiency) of Revenues over Expenses before Capital Expenditures</b>	<b>375,152</b>	<b>103,986</b>	<b>271,166</b>
<b>CAPITAL EXPENDITURES</b>			
Capital Outlay-FF&E, Automobiles	-	2,569	(2,569)
Capital Outlay-Debt Service Bonds	70,964	73,595	(2,631)
<b>TOTAL CAPITAL EXPENDITURES</b>	<b>70,964</b>	<b>76,164</b>	<b>(5,200)</b>
<b>GRAND TOTAL EXPENDITURES</b>	<b>3,678,972</b>	<b>3,605,128</b>	<b>73,844</b>
<b>Excess (Deficiency) of Revenues and Expenses</b>	<b>304,188</b>	<b>27,822</b>	<b>276,366</b>

**Debt Service and Fixed Asset Fund:**

Bond Payments Receipts	70,964	73,595	(2,631)
Bond Payments Disbursements			-
Interest Income			-
<b>Excess(Deficiency) of revenues over Expenses</b>	<b>70,964</b>	<b>73,595</b>	<b>(2,631)</b>

**TRI-COUNTY SERVICES**  
**Revenue and Expense Summary**  
**With September 2012 Comparative Data**  
**As of October 2012**

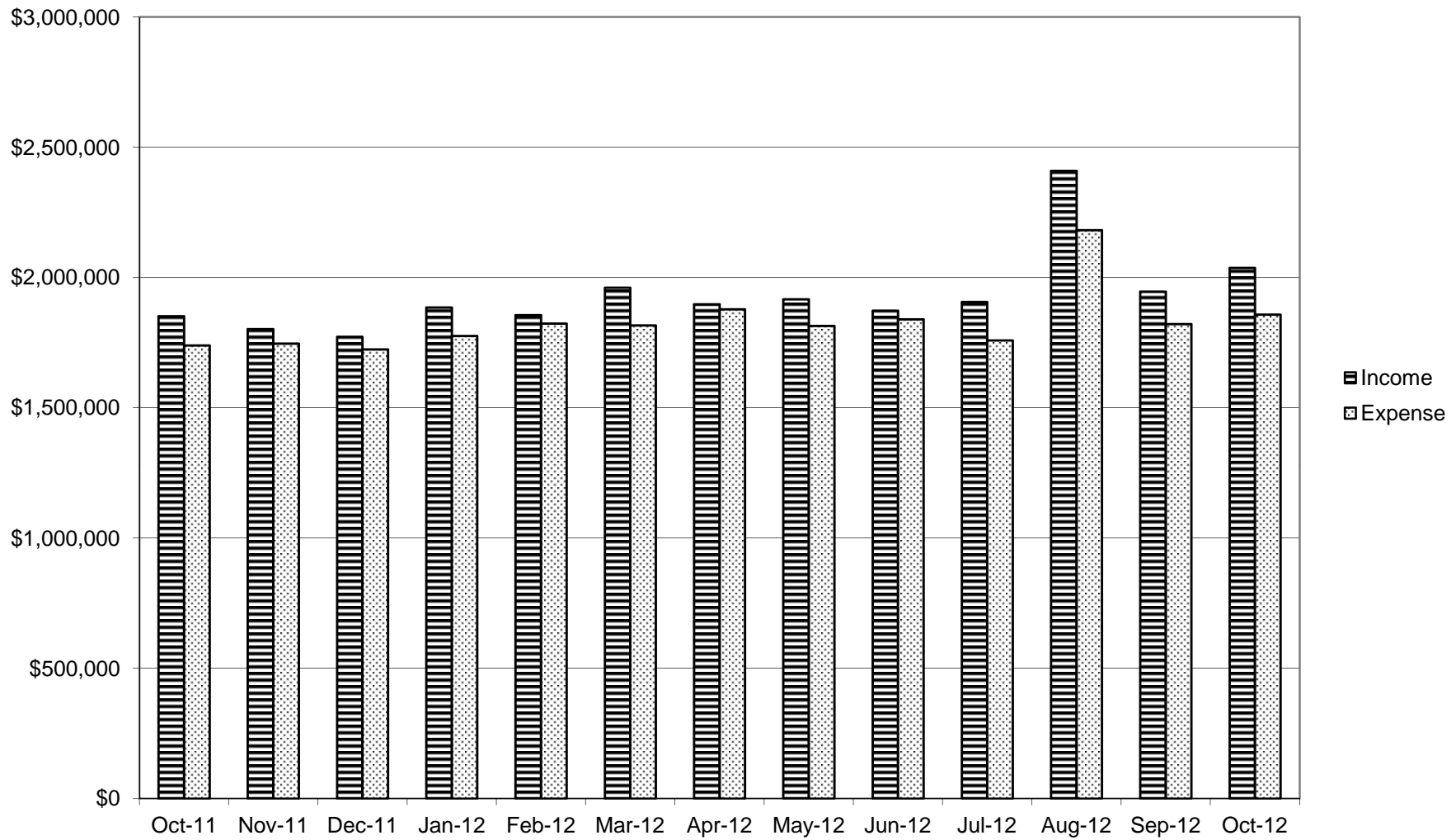
<b>INCOME:</b>	<b>MONTH OF October 2012</b>	<b>MONTH OF September 2012</b>	<b>Increase (Decrease)</b>
Local Revenue Sources	170,789	130,785	40,004
Earned Income	858,505	809,527	48,978
General Revenue-Contract	1,007,673	1,005,881	1,791
<b>TOTAL INCOME</b>	<b>2,036,966</b>	<b>1,946,193</b>	<b>90,773</b>
<b>EXPENSES:</b>			
Salaries	953,715	945,516	8,199
Employee Benefits	179,836	179,141	696
Medication Expense	25,936	17,890	8,045
Travel-Board/Staff	32,178	32,233	(55)
Building Rent/Maintenance	25,987	34,045	(8,058)
Consultants/Contracts	409,929	402,920	7,009
Other Operating Expenses	194,601	174,082	20,519
<b>TOTAL EXPENSES</b>	<b>1,822,181</b>	<b>1,785,826</b>	<b>36,355</b>
<b>Excess(Deficiency) of Revenues over Expenses before Capital Expenditures</b>	<b>214,785</b>	<b>160,367</b>	<b>54,418</b>
<b>CAPITAL EXPENDITURES</b>			
Capital Outlay-FF&E, Automobiles	(232)	232	(463)
Capital Outlay-Debt Service Bonds	35,482	35,482	-
<b>TOTAL CAPITAL EXPENDITURES</b>	<b>35,250</b>	<b>35,714</b>	<b>(463)</b>
<b>GRAND TOTAL EXPENDITURES</b>	<b>1,857,432</b>	<b>1,821,540</b>	<b>35,892</b>
<b>Excess (Deficiency) of Revenues and Expenses</b>	<b>179,535</b>	<b>124,653</b>	<b>54,881</b>

<b>Debt Service and Fixed Asset Fund:</b>			
Bond Payments Receipts	35,482	35,482	-
Bond Payments Disbursements			-
Interest Income			
<b>Excess(Deficiency) of revenues over Expenses</b>	<b>35,482</b>	<b>35,482</b>	<b>-</b>

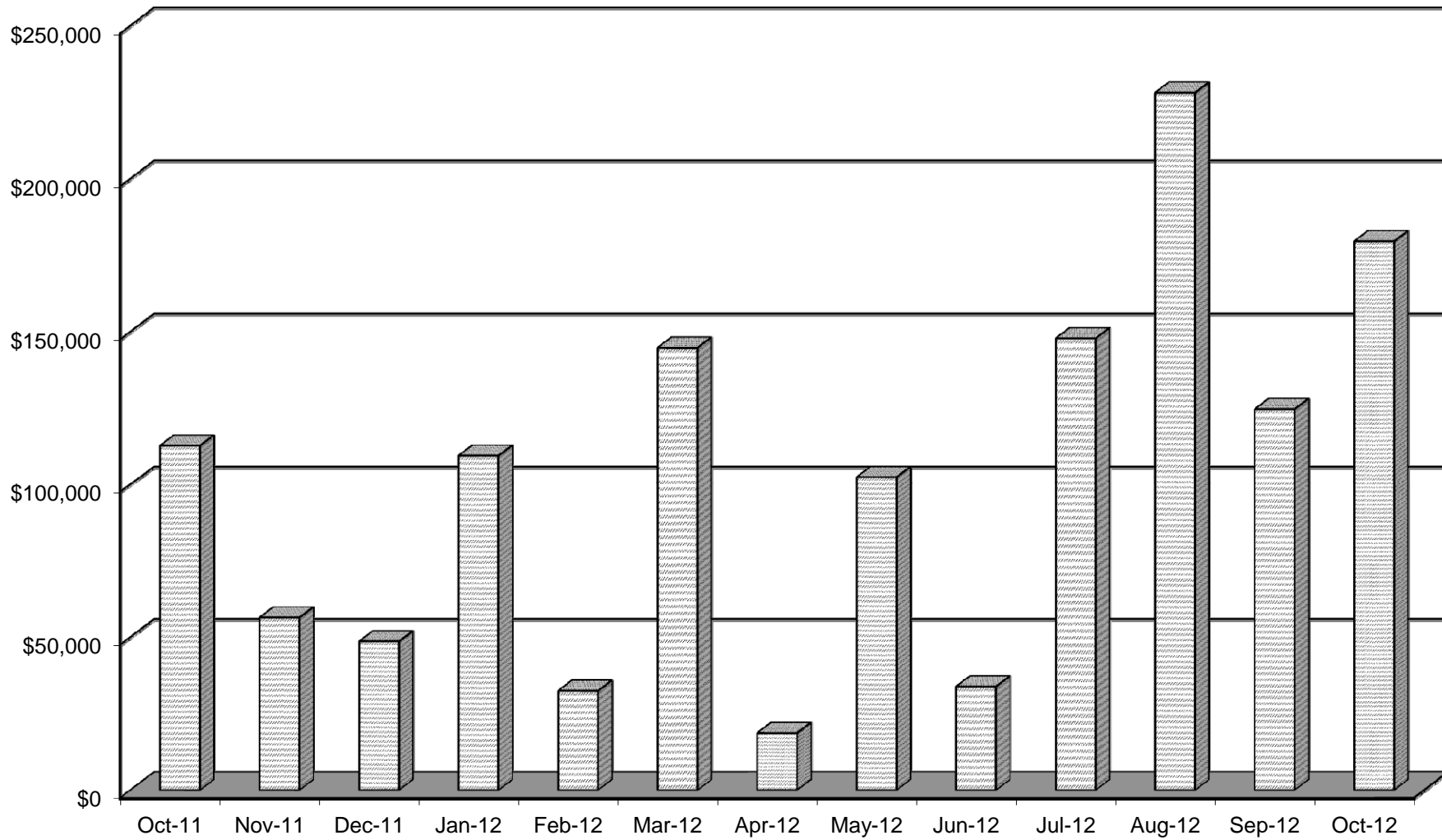
**TRI-COUNTY SERVICES**  
**Revenue and Expense Summary by Service Type**  
**Compared to Budget**  
**As of YTD Ended October 2012**

	YTD Mental Health October 2012	YTD IDD October 2012	YTD Other Services October 2012	YTD Agency Total October 2012	YTD Approved Budget October 2012	Increase (Decrease)
<b>INCOME:</b>						
Local Revenue Sources	215,483	33,220	52,870	301,574	289,365	12,209
Earned Income	435,174	1,043,974	188,884	1,668,032	1,594,899	73,133
General Revenue-Contract	1,830,539	183,015	-	2,013,554	2,031,104	(17,550)
<b>TOTAL INCOME</b>	<b>2,481,196</b>	<b>1,260,209</b>	<b>241,754</b>	<b>3,983,160</b>	<b>3,915,368</b>	<b>67,792</b>
<b>EXPENSES:</b>						
Salaries	1,388,772	350,767	159,692	1,899,230	1,954,356	(55,126)
Employee Benefits	257,387	69,498	32,092	358,977	387,673	(28,696)
Medication Expense	42,272	-	1,555	43,826	56,428	(12,602)
Travel-Board/Staff	42,173	15,945	6,293	64,411	69,073	(4,662)
Building Rent/Maintenance	41,123	14,367	4,542	60,031	56,166	3,865
Consultants/Contracts	187,291	610,029	15,529	812,849	896,809	(83,960)
Other Operating Expenses	256,867	76,361	35,455	368,683	426,010	(57,327)
<b>TOTAL EXPENSES</b>	<b>2,215,885</b>	<b>1,136,967</b>	<b>255,158</b>	<b>3,608,007</b>	<b>3,846,515</b>	<b>(238,508)</b>
<b>Excess(Deficiency) of Revenues over Expenses before Capital Expenditures</b>	<b>265,311</b>	<b>123,242</b>	<b>(13,404)</b>	<b>375,153</b>	<b>68,853</b>	<b>306,300</b>
<b>CAPITAL EXPENDITURES</b>						
Capital Outlay-FF&E, Automobiles	-	-	-	-	25,378	(25,378)
Capital Outlay-Debt Service Bonds	44,830	18,563	7,572	70,964	70,937	27
<b>TOTAL CAPITAL EXPENDITURES</b>	<b>44,830</b>	<b>18,563</b>	<b>7,572</b>	<b>70,963</b>	<b>96,315</b>	<b>(25,351)</b>
<b>GRAND TOTAL EXPENDITURES</b>	<b>2,260,715</b>	<b>1,155,530</b>	<b>262,730</b>	<b>3,678,970</b>	<b>3,942,830</b>	<b>(263,859)</b>
<b>Excess (Deficiency) of Revenues and Expenses</b>	<b>220,481</b>	<b>104,679</b>	<b>(20,976)</b>	<b>304,188</b>	<b>(27,462)</b>	<b>331,651</b>
<b>Debt Service and Fixed Asset Fund:</b>						
Bond Payments Receipts	44,830	18,563	7,572	70,964	70,937	(26,107)
Bond Payments Disbursements	-	-	-	-	-	-
Interest Income	-	-	-	-	-	-
<b>Excess(Deficiency) of revenues over Expenses</b>	<b>44,830</b>	<b>18,563</b>	<b>7,572</b>	<b>70,964</b>	<b>70,937</b>	<b>(26,107)</b>

# TRI-COUNTY SERVICES Income and Expense



**TRI-COUNTY SERVICES**  
**Income after Expense**





<b>Agenda Item:</b> Approve Revised "Charter" Center Plan  <b>Committee:</b> Business	<b>Board Meeting Date</b>  December 13, 2012
<b>Background Information:</b>  <p>Tri-County's "Charter" or organizing plan was last revised in 1996; an attempt was made to revise the plan in 2004 prior to the dissolution of the Texas Department of MHMR, but TDMHMR declined to approve. The new agencies, DSHS and DADS, indicated that they would be revising the rules for requesting revisions and that process was delayed for a few years.</p> <p>It is important that both DSHS and DADS approve the "Charter" or organizing plan because this plan defines the services that are authorized for provision under the Center's governmental status. Services provided under this plan fall within the Texas Tort Liability protections.</p> <p>Since the Center has proposed to provide new services through the Medicaid 1115 Transformation waiver, it is important that the plan be revised and approved by DSHS and DADS so that these new services are authorized as part of our governmental services plan. The major revision is to include the provision of primary care for individuals with MH, IDD and substance use disorders. The d/b/a, Tri-County Services, is also included as well as updating other changes that have occurred in the past several years.</p>	
<b>Supporting Documentation:</b>  Copy of the Draft "Charter" Tri-County Services Plan	
<b>Recommended Action:</b>  <b>Approve Revised "Charter" Tri-County Services Plan and Authorize Submission to DSHS and DADS</b>	

TRI-COUNTY MHMR SERVICES  
D/B/A  
TRI-COUNTY SERVICES  
PLAN FOR COMMUNITY CENTER SERVICES

SECTION I: GENERAL DESCRIPTION/HISTORY OF THE CENTER

Tri-County MHMR Services, established in September 1983, is a community mental health and developmental disabilities center; a unit of local government. The Center is sponsored by the Commissioners Court of Liberty, Montgomery and Walker counties, with three (3) Trustees appointed by the commissioners of each county. Tri-County serves as the mental health and mental retardation authorities for these three (3) counties as well. Initially services included screening, referral, assisting the courts with commitments, mental health outpatient services and diagnostic and evaluation services. Later in the first year of operation, a twelve (12) bed crisis resolution unit (CRU) was opened. During the first few years of operation, the Center phased in early childhood intervention (ECI), habilitation, sheltered work training, supported employment, community support (psychosocial rehabilitation), residential and counseling services.

Prior to 1992, mental health services for children were quite limited; however, in that year, the Center received a contract **through the Texas Children's Mental Health Plan** and a change in the funding of inpatient services for children occurred. As a result, the Center began working through a Community Management Team to provide a continuum of services to children and adolescents with several emotional disturbances and/or mental illness in all three (3) counties.

In FY1994, the Center opted not to renew the ECI and TCADA contracts and to sub-contract the operation of its ICF/MR facilities to a management company. In early FY1995, the Center closed the CRU and began providing crisis services through a combination of crisis respite, structured day treatment and contracted local hospital beds. Crisis screening, structured day treatment and physician services in the local psychiatric hospitals were provided by an interdisciplinary team of psychiatrists and master-level clinicians. Also, in 1995, a partial hospitalization program was opened through a contract with a private management company.

A variety of inpatient and outpatient substance use treatment services were provided between 1987 and 1995, through contracts with TCADA. Subsequently, the Center provided outpatient substance use services only for persons who were dually diagnosed through a program operated in conjunction with the Walker-Montgomery County Council on Alcoholism and Drug Abuse. These specialized services ended in FY2005.

When adequate funding became available in FY1996, the Center again contracted to provide ECI services until FY2004. That same year, an assertive community treatment (ACT) team was added to the service array, as required by the contract with TDMHMR.

**FY2005 brought major system changes to the Center's mental health service array** when the State of Texas implemented Resiliency and Disease Management (RDM). The Center continued to provide a comprehensive array of services in compliance with the **Department of State Health Services' (DSHS) rules, contract requirements and standards.** A significant expansion of crisis mental health services occurred in FY2008-09 when the Center was awarded one of the 15 competitive crisis redesign contract awards. Intensive crisis evaluation and crisis residential services were opened in FY2008 and were greatly appreciated by clients, their families and local stakeholders. *In FY2010, the Center began construction of its Crisis Stabilization facility which opened in June 2011. With the Crisis Stabilization Unit and the local contracted state hospital diversion beds (which started in July 2012), Tri-County has been able to successfully divert many adults from the state hospital system and is one of the lowest utilizers of state hospital beds among the community centers.*

*Specialized services for persons with mental illness who become involved in the criminal justice system has been a key component of the Center's service system since FY2003 when TCOOMMI provided funding for adult services. In subsequent years, TCOOMMI also provided funding for juvenile services until FY2012 when their funding was dramatically reduced by the Legislature. In FY2012, Tri-County applied for and received funding DSHS for a small Outpatient Competency Restoration program that continues to successfully restore individuals to competency so their charges can be resolved.*

Major system changes also began to evolve for persons with intellectual and developmental disabilities in FY2005 through the Department of Aging and Disability Services (DADS). In FY2010, the Center, as the Local Authority (LA), assumed the Service Coordination responsibilities for all Home and Community Based Service (HCS) providers in our three (3) county area on June 1, 2010. In FY2010, the Center also began operating a small specialized program for persons with autism spectrum disorders *that unfortunately was closed at the end of FY2011 as a result of the twenty-seven percent (27%) reduction in funding that occurred as a result of the 82<sup>nd</sup> Legislative Session.*

Through the years, the Center has been able to expand services through aggressive solicitation of grant, foundation and other local funding resources. The Center has been a United Way agency for many years which has funded such specialty services as summer camps for youth and young adults with serious emotional disturbances and intellectual and developmental disabilities. In FY2010, United Way allowed the Center to begin provided small scale outpatient substance use services; the Center submitted a funding request to DSHS to expand its outpatient substance use treatment services for adults and youth and continues to provide these services. Local agencies have

**recognized the Centers' quality services and have contracted with Tri-County** to provide services for individuals who are not eligible for DSHS and DADS funded services.

To meet the housing needs of adults with mental illness, the Center has been the sponsoring agency for two (2) Housing and Urban Development (HUD) 811 apartment complexes. One project was completed and opened in 2005 and the other opened in 2011. *Additionally, the Center sponsored a third HUD 811 project and it was funded in 2011; construction will likely begin 2013. These apartment complexes provide safe, affordable housing and have proven to increase the stability of the individuals residing there.*

To ensure best value, the Center has contracted some of its services to private providers who provide quality services and supports on behalf of Tri-County. Center staff work collaboratively with numerous partners in the our three (3) county service area to ensure that the interests of those we serve as upheld.

**Since "mental retardation" has become the less favored terminology of consumers,** families and professionals and intellectual and developmental disabilities is the accepted terminology, the Center Board of Trustees voted unanimously at its December 2009 meeting to change our business name to **Tri-County Services.** This revision of our Center Plan reflects this name change.

Except as specially noted, all services mentioned above continue to be provided.

## SECTION II: PURPOSE OF THE CENTER

The purposes of the Center are:

1. To assist in fulfilling the purpose of Title 7, Subtitle A of the Texas Health and Safety Code, Chapter 534 to ensure that a continuum of services are available to the residents of our service area by:
  - a. Considering public input, ultimate cost benefit, client care issues to ensure consumer choice and best use of public money;
  - b. Providing effective administration and coordination of services; and
  - c. Being a vital component in that continuum of services which strives to develop services that are effective and efficient alternatives to institutional treatment and care.
2. To assist in meeting the goal of the State of developing a comprehensive array of services for persons who need publicly supported care, treatment, support and/or habilitation through coordination among governmental entities to minimize duplication and share in financing by:
  - a. **Implementing policies consistent with DSHS' and DADS' rules, standards and contracts requirements; and**
  - b. Spending any applicable funds appropriated by the State Legislature only for priority populations identified by DSHS and DADS in their respective long range plans.
3. To assist in implementing the policies of the State to assure treatment and support of persons in their own communities, when appropriate and feasible; that services be the responsibility of local agencies and organizations to the greatest extent possible; and to offer services to persons who are most in need by:
  - a. Providing screening and continuity of care for persons entering or leaving DSHS and DADS state facilities; and
  - b. Charging reasonable service fees in accordance with Texas Administrative Code and not denying services to a person because of their inability to pay.

### SECTION III: POPULATIONS TO BE SERVED

Tri-County Services will use available resources to provide or ensure that provision of services, directly or through contract, to target the needs of persons in the populations *as defined in the Texas Health and Safety Code, Title 7, Chapter 534*:

1. Adults and children with mental illness and/or serious emotional disturbances as defined and funded by DSHS.
2. Adults and children with intellectual and developmental disabilities (IDD) as defined and funded by DADS.
3. Other adults and children with non-priority population MH/MI diagnoses whose services are financed by other entities.
4. Other adults and children with non-priority population IDD diagnoses whose services are financed other entities.
5. Individuals with a single diagnosis substance use disorders (SUD) whose services are financed through DSHS categorical funding or other funding entities.
6. Substance use prevention and intervention services funded through DSHS categorical funding or other funding entities.
7. *Integrated primary care and other physical health treatment financed through other entities for individuals with MH/MI, IDD and/or SUD.*

#### SECTION IV: CENTER SERVICES

Tri-County fulfills its purposes and uses available resources for persons in the populations described in the preceding section by providing, directly or through sub-contract, an effective and efficient system of comprehensive community based services in accordance with applicable standards, Texas Administrative Code and contract requirements. The following functions are included:

1. All required services identified in the DSHS and DADS performance contracts for the priority and target populations defined by these state agencies.
2. Substance Use Treatment Services *for adults and children/youth*
3. Substance Use Prevention Services *for youth*
4. Services for persons with mental illness not in the DSHS priority and/or target populations; such services are financed by other funding entities; *services include but are not limited to: pharmacological management, counseling/therapy services and care management.*
5. Services for persons with intellectual and developmental disabilities not in the DADS priority population; such services are financed by other funding entities; *services include but are not limited to: summer camp, respite, assertive community treatment and care management.*
6. Integration of primary healthcare with behavioral, developmental disabilities and substance use disorders care and treatment; *services include, but are not limited to: management of diabetes, hypertension and cholesterol management.*
7. Administrative Services:

<b>Fiscal Services</b>	<b>Quality Management</b>	<b>Organizational Support</b>
Financial Management	Contracts Management	Human Resources
Asset Management	Utilization Management	Training
Benefits Eligibility	Utilization Review	Volunteers
Cost Accounting	Customer Satisfaction	Fund Raising
	Risk Management	Clerical Support
	Program Review	Information Management
	Planning	Safety and Maintenance

8. Tri-County Services serves as the local authorities for persons with mental illnesses and developmental disabilities as evidenced by planning, supervision of services, policy development, service coordination, resource development and network development.

9. Tri-County is a member of the East Texas Behavioral Healthcare Network (ETBHN), established through an Interlocal Agreement with the Access Center, Lakes Regional MHMR Services, Burke Center, the Gulf Coast Center, Andrews Center, Community Healthcore, Spindletop Services, Bluebonnet Trails Center, the Gulf Bend Center and Pecan Valley MHMR Services.
- a. ETBHN provides services and supports to the member centers that assist them with several operational efficiencies, including operation of a closed door pharmacy, collective purchasing contracts for goods and services, regional service authorization, tele-psychiatry services, shared management staff, best value analyses by the Regional Planning and Network Advisory Committee, standardization of practices across centers, operational and practice improvement activities and collaborative training.
  - b. ETBHN also provides some of these services to other non-member Texas Community Centers through contractual arrangements.



## SECTION V: ORGANIZATIONAL PLAN ELEMENTS

### 1. Organizational Structure

The Board of Trustees of Tri-County Services is comprised of nine (9) members. The Commissioners Courts of each county appoints three (3) Board members from the qualified voters in their counties in compliance with the Texas Health and Safety Code. The Board members so appointed serve staggered terms. All appointments are for a term of two (2) years or until their successors are appointed. The following county appointments for Trustees are used:

Liberty County	Places 1, 2 and 3
Montgomery County	Places 4, 5 and 6
Walker County	Places 7, 8 and 9

The Board of Trustees elects from its membership a Chairman, Vice-Chairman and Secretary to hold office for one (1) year or until his or her successor is elected.

The Board of Trustees establishes policies that are consistent with the Texas **Department of State Health Services', Texas Department of Aging and Disability Services'** and **Texas Health and Human Services Commission's**, and their successors, rules and standards and other regulatory agencies. The Board of Trustees discharges its responsibility by exercising its authority consistent with the provisions of the Texas Health and Safety Code applicable chapters.

The Board of Trustees hires the Executive Director of the Center, who must be a professionally trained person, qualified to administer comprehensive mental health and developmental disability programs and other programs as deemed appropriate by the Board of Trustees. Such programs may include, but are not limited to, services for persons with substance use disorders, persons with non-priority diagnoses, early childhood intervention and *integrated primary care*.

The duties of the Executive Director are as follows: provide necessary staff services to the Board of Trustees and attend meetings of the Board of Trustees; responsibility for the programs of the Board; responsibility for the day to day operations of the Center and implementation of Board policies; subject to the policies of the Board, responsibility for the selecting, hiring, training, assigning and dismissal of Center personnel; delegate responsibilities to his/her administrative and programmatic staff or other personnel; and

ensure cooperative and collaborative relationships with community stakeholders.

Organizational Chart -- Exhibit A

2. Board Membership – Membership Matrix --Exhibit B
3. Board By-Laws – Exhibit C
4. Contract or Interlocal Agreement Among Sponsoring Agencies – Copy of Original Interlocal Agreement establishing Tri-County Services (formerly known as Tri-County MHMR Services) – Exhibit D
5. Tri-County employs a variety of mechanisms to solicit input from individuals served, family members, stakeholder, advocates and other community members for planning and policy development. These engagement activities include, but are not limited to: Mental Health Planning and Network Advisory Committee (MHPNAC), Intellectual and Developmental Disability Planning and Network Advisory Committee (IDDPNAC), Home and Community Based Services (HCS) Advisory Committee, Advisory Committees in the cities of Cleveland and Liberty/Dayton, ETBHN Regional Planning and Network Advisory Committee, the Montgomery County Homeless Coalition, Montgomery County Jail Diversion Task Forces, Montgomery County United Way and numerous community partners. In addition, Center staff meet regularly with staff of local jails, law enforcement agencies, the judicial systems, adult and juvenile probations departments, area hospitals and hospital districts. The Center also solicits input through the distribution of program specific satisfaction surveys and annual planning surveys for individuals served, families and community stakeholders.

**Finally, the Center's strategic planning process seeks input from** individuals served, family members, advocates and community stakeholders. The Planning and Network Advisory Committees actively participate in these planning processes as well. *Over several planning cycles, individuals served, families and stakeholders have identified crisis stabilization services, more residential options, serving individuals with diagnoses other than the DSHS target population, substance use treatment, crisis responses for persons with IDD and need for more staff who bilingual/bi-cultural to serve persons with MI and IDD diagnoses.*

*Tri-County has been successful in addressing many of these issues in the recent past. The Center had secured funding to construct a crisis stabilization unit contingent upon securing operating funds and the Center was able to secure funds from Montgomery County Hospital District, Montgomery County*

*United Way and the City of Conroe. When the Legislature appropriated funds for crisis mental health services, the Center was able to submit a strong proposal that was awarded funding. The crisis stabilization unit was built and opened in June 2011. The Center received three (3) HUD 811 housing awards and two (2) apartments have been built and opened, one in Huntsville and one in Montgomery. Construction of the third apartment complex will begin 2013 and will be located in Cleveland. The Center successfully completed a DSHS contract proposal for substance use prevention services and these programs are valued by our communities. Montgomery County United Way awarded the Center "seed" money to develop substance use disorder treatment services and the following year, the Center was awarded both adult and youth outpatient substance use disorder treatment contracts from DSHS. For the past several years, Tri-County has made a concerted effort to hire bilingual/bi-cultural staff to provide treatment, services and supports to individuals with MI and IDD.*

*The Medicaid 1115 Transformation waiver is allowing the Center to address other unmet needs. One (1) project will provide outpatient treatment to individuals with diagnoses other than the DSHS target populations. This treatment will be offered throughout our three county region utilizing these funds. Another project will provide "assertive community treatment" to individuals dually diagnoses with IDD and MI and will provide relief for families, law enforcement, and other stakeholders and provide specialized treatment and intervention for the individuals in need of such services and supports.*

## SECTION VI: FINANCIAL PLAN ELEMENTS

### 1. Approved Fiscal Year Operating Budget

The approved FY2013 operating budget of the Center is filed with DSHS and DADS.

### 2. Most Recent Independent Annual Financial Audit

The FY2011 Independent Financial Audit of the Center is filed with DSHS and DADS; the FY2012 Independent Financial Audit will be submitted to both DSHS and DADS after approval at the January 2013 Board of Trustees meeting.

## SECTION VII: LOCAL CONTRIBUTION

Each fiscal year, the required local match was used to complement the general revenue dollars received from DSHS and DADS and in compliance with their respective contracts. Both the required local match and general revenue were expended in providing the essential services as defined by the DSHS and DADS performance contracts. *The chart below reflects funding as of August 31, 2012:*

<i>Montgomery County</i>	<i>\$211,525</i>
<i>Montgomery County-CSU construction funds</i>	<i>318,697</i>
<i>Liberty County</i>	<i>63,624</i>
<i>Walker County</i>	<i>28,730</i>
<i>Walker County Hospital District</i>	<i>29,600</i>
<i>Montgomery County Hospital District</i>	<i>36,570</i>
<i>Montgomery County United Way</i>	<i>223,500</i>
<i>Client/Consumer fees</i>	<i>299,992</i>
<i>Private insurance</i>	<i>37,650</i>
<i>Patient assistance program*</i>	<i>200,000</i>
<i>Interest income</i>	<i>102,190</i>
<i>Donations and Fundraisers</i>	<i>41,350</i>
<i>Rental income</i>	<i>161,029</i>
<i>Lone Star Clinic (FQHC)</i>	<i>43,200</i>
<i>Various contracts and fees</i>	<i>184,080</i>

*\*Only applied a portion of PAP value as local match.*

SECTION VIII: ASSURANCE OF THE BOARD OF TRUSTEES

TRI-COUNTY SERVICES  
ASSURANCE OF THE BOARD OF TRUSTEES

On \_\_\_\_\_, 2012, the Board of Trustees met to review the Tri-County Services Local Governmental Plan. The Board of Trustees assures that it understands and will enforce compliance with the applicable local, state and federal laws, rules, standards and regulations. It further assures that on this date, the Board of Trustees approved of the purposes and functions identified in this Plan document.

\_\_\_\_\_  
David Walker, Chairman

\_\_\_\_\_  
Date

Tri-County Services, A Community Center  
As a Governmental Entity

Submitted to the Department of State Health Services and the Department of Aging and Disability Services

Approved: \_\_\_\_\_  
David Walker Chairperson, Board of Trustees

Date of Approval: \_\_\_\_\_

DRAFT

TRI-COUNTY MHMR SERVICES  
D/B/A  
TRI-COUNTY SERVICES  
PLAN FOR COMMUNITY CENTER SERVICES

SECTION I: GENERAL DESCRIPTION/HISTORY OF THE CENTER

Tri-County MHMR Services, established in September 1983, is a community mental health and developmental disabilities center; a unit of local government. The Center is sponsored by the Commissioners Court of Liberty, Montgomery and Walker counties, with three (3) Trustees appointed by the commissioners of each county. Tri-County serves as the mental health and mental retardation authorities for these three (3) counties as well. Initially services included screening, referral, assisting the courts with commitments, mental health outpatient services and diagnostic and evaluation services. Later in the first year of operation, a twelve (12) bed crisis resolution unit (CRU) was opened. During the first few years of operation, the Center phased in early childhood intervention (ECI), habilitation, sheltered work training, supported employment, community support (psychosocial rehabilitation), residential and counseling services.

Prior to 1992, mental health services for children were quite limited; however, in that year, the Center received a contract **through the Texas Children's Mental Health Plan** and a change in the funding of inpatient services for children occurred. As a result, the Center began working through a Community Management Team to provide a continuum of services to children and adolescents with several emotional disturbances and/or mental illness in all three (3) counties.

In FY1994, the Center opted not to renew the ECI and TCADA contracts and to sub-contract the operation of its ICF/MR facilities to a management company. In early FY1995, the Center closed the CRU and began providing crisis services through a combination of crisis respite, structured day treatment and contracted local hospital beds. Crisis screening, structured day treatment and physician services in the local psychiatric hospitals were provided by an interdisciplinary team of psychiatrists and master-level clinicians. Also, in 1995, a partial hospitalization program was opened through a contract with a private management company.

A variety of inpatient and outpatient substance abuse treatment services were provided between 1987 and 1995, through contracts with TCADA. Subsequently, the Center provided outpatient substance abuse services only for persons who were dually diagnosed through a program operated in conjunction with the Walker-Montgomery County Council on Alcoholism and Drug Abuse. These specialized services ended in FY2005.

When adequate funding became available in FY1996, the Center again contracted to provide ECI services until FY2004. That same year, an assertive community treatment (ACT) team was added to the service array, as required by the contract with TDMHMR.

**FY2005 brought major system changes to the Center's mental health service array** when the State of Texas implemented Resiliency and Disease Management (RDM). The Center continued to provide a comprehensive array of services in compliance with the **Department of State Health Services' (DSHS) rules, contract requirements and standards.** A significant expansion of crisis mental health services occurred in FY2008-09 when the Center was awarded one of the 15 competitive crisis redesign contract awards. Intensive crisis evaluation and crisis residential services were opened in FY2008 and were greatly appreciated by clients, their families and local stakeholders. In FY2010, the Center began construction of its Crisis Stabilization facility which opened in June 2011. With the Crisis Stabilization Unit and the local contracted state hospital diversion beds (which started in July 2012), Tri-County has been able to successfully divert many adults from the state hospital system and is one of the lowest utilizers of state hospital beds among the community centers.

Specialized services for persons with mental illness who become involved in the criminal justice system has been a key component of the Center's service system since FY2003 when TCOOMMI provided funding for adult services. In subsequent years, TCOOMMI also provided funding for juvenile services until FY2012 when their funding was dramatically reduced by the Legislature. In FY2012, Tri-County applied for and received funding DSHS for a small Outpatient Competency Restoration program that continues to successfully restore individuals to competency so their charges can be resolved.

Major system changes also began to evolve for persons with intellectual and developmental disabilities in FY2005 through the Department of Aging and Disability Services (DADS). In FY2010, the Center, as the Local Authority (LA), assumed the Service Coordination responsibilities for all Home and Community Based Service (HCS) providers in our three (3) county area on June 1, 2010. In FY2010, the Center also began operating a small specialized program for persons with autism spectrum disorders that unfortunately was closed at the end of FY2011 as a result of the twenty-seven percent (27%) reduction in funding that occurred as a result of the 82<sup>nd</sup> Legislative Session.

Through the years, the Center has been able to expand services through aggressive solicitation of grant, foundation and other local funding resources. The Center has been a United Way agency for many years which has funded such specialty services as summer camps for youth and young adults with serious emotional disturbances and intellectual and developmental disabilities. In FY2010, United Way allowed the Center to begin provided small scale outpatient substance abuse services; the Center submitted a funding request to DSHS to expand its outpatient substance abuse treatment services for adults and youth and continues to provide these services. Local



agencies have recognized the Centers' quality services and have contracted with Tri-County to provide services for individuals who are not eligible for DSHS and DADS funded services.

To meet the housing needs of adults with mental illness, the Center has been the sponsoring agency for two (2) Housing and Urban Development (HUD) 811 apartment complexes. One project was completed and opened in 2005 and the other opened in 2011. Additionally, the Center sponsored a third HUD 811 project and it was funded in 2011; construction will likely begin 2013. These apartment complexes provide safe, affordable housing and have proven to increase the stability of the individuals residing there.

To ensure best value, the Center has contracted some of its services to private providers who provide quality services and supports on behalf of Tri-County. Center staff work collaboratively with numerous partners in the our three (3) county service area to ensure that the interests of those we serve as upheld.

Since "mental retardation" has become the less favored terminology of consumers, families and professionals and intellectual and developmental disabilities is the accepted terminology, the Center Board of Trustees voted unanimously at its December 2009 meeting to change our business name to **Tri-County Services**. This revision of our Center Plan reflects this name change.

Except as specially noted, all services mentioned above continue to be provided.

## SECTION II: PURPOSE OF THE CENTER

The purposes of the Center are:

1. To assist in fulfilling the purpose of Title 7, Subtitle A of the Texas Health and Safety Code, Chapter 534 to ensure that a continuum of services are available to the residents of our service area by:
  - a. Considering public input, ultimate cost benefit, client care issues to ensure consumer choice and best use of public money;
  - b. Providing effective administration and coordination of services; and
  - c. Being a vital component in that continuum of services which strives to develop services that are effective and efficient alternatives to institutional treatment and care.
2. To assist in meeting the goal of the State of developing a comprehensive array of services for persons who need publicly supported care, treatment, support and/or habilitation through coordination among governmental entities to minimize duplication and share in financing by:
  - a. **Implementing policies consistent with DSHS' and DADS' rules, standards and contracts requirements; and**
  - b. Spending any applicable funds appropriated by the State Legislature only for priority populations identified by DSHS and DADS in their respective long range plans.
3. To assist in implementing the policies of the State to assure treatment and support of persons in their own communities, when appropriate and feasible; that services be the responsibility of local agencies and organizations to the greatest extent possible; and to offer services to persons who are most in need by:
  - a. Providing screening and continuity of care for persons entering or leaving DSHS and DADS state facilities; and
  - b. Charging reasonable service fees in accordance with Texas Administrative Code and not denying services to a person because of their inability to pay.

### SECTION III:            POPULATIONS TO BE SERVED

Tri-County Services will use available resources to provide or ensure that provision of services, directly or through contract, to target the needs of persons in the populations as defined in the Texas Health and Safety Code, Title 7, Chapter 534:

1. Adults and children with mental illness and/or serious emotional disturbances as defined and funded by DSHS.
2. Adults and children with intellectual and developmental disabilities (IDD) as defined and funded by DADS.
3. Other adults and children with non-priority population MH/MI diagnoses whose services are financed by other entities.
4. Other adults and children with non-priority population IDD diagnoses whose services are financed other entities.
5. Individuals with a single diagnosis substance use disorders (SUD) whose services are financed through DSHS categorical funding or other funding entities.
6. Substance use prevention and intervention services funded through DSHS categorical funding or other funding entities.
7. Integrated primary care and other physical health treatment financed through other entities for individuals with MH/MI, IDD and/or SUD.

#### SECTION IV: CENTER SERVICES

Tri-County fulfills its purposes and uses available resources for persons in the populations described in the preceding section by providing, directly or through sub-contract, an effective and efficient system of comprehensive community based services in accordance with applicable standards, Texas Administrative Code and contract requirements. The following functions are included:

1. All required services identified in the DSHS and DADS performance contracts for the priority and target populations defined by these state agencies.
2. Substance Use Treatment Services for adults and children/youth
3. Substance Use Prevention Services for youth
4. Services for persons with mental illness not in the DSHS priority and/or target populations; such services are financed by other funding entities; services include but are not limited to: pharmacological management, counseling/therapy services and care management.
5. Services for persons with intellectual and developmental disabilities not in the DADS priority population; such services are financed by other funding entities; services include but are not limited to: summer camp, respite, assertive community treatment and care management.
6. Integration of primary healthcare with behavioral, developmental disabilities and substance use disorders care and treatment; services include, but are not limited to: management of diabetes, hypertension and cholesterol management.
7. Administrative Services:

<b>Fiscal Services</b>	<b>Quality Management</b>	<b>Organizational Support</b>
Financial Management	Contracts Management	Human Resources
Asset Management	Utilization Management	Training
Benefits Eligibility	Utilization Review	Volunteers
Cost Accounting	Customer Satisfaction	Fund Raising
	Risk Management	Clerical Support
	Program Review	Information Management
	Planning	Safety and Maintenance

8. Tri-County Services serves as the local authorities for persons with mental illnesses and developmental disabilities as evidenced by planning, supervision of services, policy development, service coordination, resource development and network development.

9. Tri-County is a member of the East Texas Behavioral Healthcare Network (ETBHN), established through an Interlocal Agreement with the Access Center, Lakes Regional MHMR Services, Burke Center, the Gulf Coast Center, Andrews Center, Community Healthcore, Spindletop Services, Bluebonnet Trails Center, the Gulf Bend Center and Pecan Valley MHMR Services.
- a. ETBHN provides services and supports to the member centers that assist them with several operational efficiencies, including operation of a closed door pharmacy, collective purchasing contracts for goods and services, regional service authorization, tele-psychiatry services, shared management staff, best value analyses by the Regional Planning and Network Advisory Committee, standardization of practices across centers, operational and practice improvement activities and collaborative training.
  - b. ETBHN also provides some of these services to other non-member Texas Community Centers through contractual arrangements.

## SECTION V: ORGANIZATIONAL PLAN ELEMENTS

### 1. Organizational Structure

The Board of Trustees of Tri-County Services is comprised of nine (9) members. The Commissioners Courts of each county appoints three (3) Board members from the qualified voters in their counties in compliance with the Texas Health and Safety Code. The Board members so appointed serve staggered terms. All appointments are for a term of two (2) years or until their successors are appointed. The following county appointments for Trustees are used:

Liberty County	Places 1, 2 and 3
Montgomery County	Places 4, 5 and 6
Walker County	Places 7, 8 and 9

The Board of Trustees elects from its membership a Chairman, Vice-Chairman and Secretary to hold office for one (1) year or until his or her successor is elected.

The Board of Trustees establishes policies that are consistent with the Texas **Department of State Health Services', Texas Department of Aging and Disability Services'** and **Texas Health and Human Services Commission's**, and their successors, rules and standards and other regulatory agencies. The Board of Trustees discharges its responsibility by exercising its authority consistent with the provisions of the Texas Health and Safety Code applicable chapters.

The Board of Trustees hires the Executive Director of the Center, who must be a professionally trained person, qualified to administer comprehensive mental health and developmental disability programs and other programs as deemed appropriate by the Board of Trustees. Such programs may include, but are not limited to, services for persons with substance use disorders, persons with non-priority diagnoses, early childhood intervention and integrated primary care.

The duties of the Executive Director are as follows: provide necessary staff services to the Board of Trustees and attend meetings of the Board of Trustees; responsibility for the programs of the Board; responsibility for the day to day operations of the Center and implementation of Board policies; subject to the policies of the Board, responsibility for the selecting, hiring, training, assigning and dismissal of Center personnel; delegate responsibilities to his/her administrative and programmatic staff or other personnel; and

ensure cooperative and collaborative relationships with community stakeholders.

Organizational Chart -- Exhibit A

2. Board Membership – Membership Matrix --Exhibit B
3. Board By-Laws – Exhibit C
4. Contract or Interlocal Agreement Among Sponsoring Agencies – Copy of Original Interlocal Agreement establishing Tri-County Services (formerly known as Tri-County MHMR Services) – Exhibit D
5. Tri-County employs a variety of mechanisms to solicit input from individuals served, family members, stakeholder, advocates and other community members for planning and policy development. These engagement activities include, but are not limited to: Mental Health Planning and Network Advisory Committee (MHPNAC), Intellectual and Developmental Disability Planning and Network Advisory Committee (IDDPNAC), Home and Community Based Services (HCS) Advisory Committee, Advisory Committees in the cities of Cleveland and Liberty/Dayton, ETBHN Regional Planning and Network Advisory Committee, the Montgomery County Homeless Coalition, Montgomery County Jail Diversion Task Forces, Montgomery County United Way and numerous community partners. In addition, Center staff meet regularly with staff of local jails, law enforcement agencies, the judicial systems, adult and juvenile probations departments, area hospitals and hospital districts. The Center also solicits input through the distribution of program specific satisfaction surveys and annual planning surveys for individuals served, families and community stakeholders.

**Finally, the Center's strategic planning process seeks input from** individuals served, family members, advocates and community stakeholders. The Planning and Network Advisory Committees actively participate in these planning processes as well. Over several planning cycles, individuals served, families and stakeholders have identified crisis stabilization services, more residential options, serving individuals with diagnoses other than the DSHS target population, substance use treatment, crisis responses for persons with IDD and need for more staff who bilingual/bi-cultural to serve persons with MI and IDD diagnoses.

Tri-County has been successful in addressing many of these issues in the recent past. The Center had secured funding to construct a crisis stabilization unit contingent upon securing operating funds and the Center was able to secure funds from Montgomery County Hospital District, Montgomery County

United Way and the City of Conroe. When the Legislature appropriated funds for crisis mental health services, the Center was able to submit a strong proposal that was awarded funding. The crisis stabilization unit was built and opened in June 2011. The Center received three (3) HUD 811 housing awards and two (2) apartments have been built and opened, one in Huntsville and one in Montgomery. Construction of the third apartment complex will begin 2013 and will be located in Cleveland. The Center successfully completed a DSHS contract proposal for substance use prevention services and these programs are valued by our communities. Montgomery County United Way awarded the Center "seed" money to develop substance use disorder treatment services and the following year, the Center was awarded both adult and youth outpatient substance use disorder treatment contracts from DSHS. For the past several years, Tri-County has made a concerted effort to hire bilingual/bi-cultural staff to provide treatment, services and supports to individuals with MI and IDD.

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### 1. Approved Fiscal Year Operating Budget

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### 2. Most Recent Independent Annual Financial Audit

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Each fiscal year, the required local match was used to complement the general revenue dollars received from DSHS and DADS and in compliance with their respective contracts. Both the required local match and general revenue were expended in providing the essential services as defined by the DSHS and DADS performance contracts. The chart below reflects funding as of August 31, 2012:

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Various contracts and fees	184,080

\*Only applied a portion of PAP value as local match.

SECTION VIII: ASSURANCE OF THE BOARD OF TRUSTEES

TRI-COUNTY SERVICES  
ASSURANCE OF THE BOARD OF TRUSTEES

On \_\_\_\_\_, 2012, the Board of Trustees met to review the Tri-County Services Local Governmental Plan. The Board of Trustees assures that it understands and will enforce compliance with the applicable local, state and federal laws, rules, standards and regulations. It further assures that on this date, the Board of Trustees approved of the purposes and functions identified in this Plan document.

\_\_\_\_\_  
David Walker, Chairman

\_\_\_\_\_  
Date

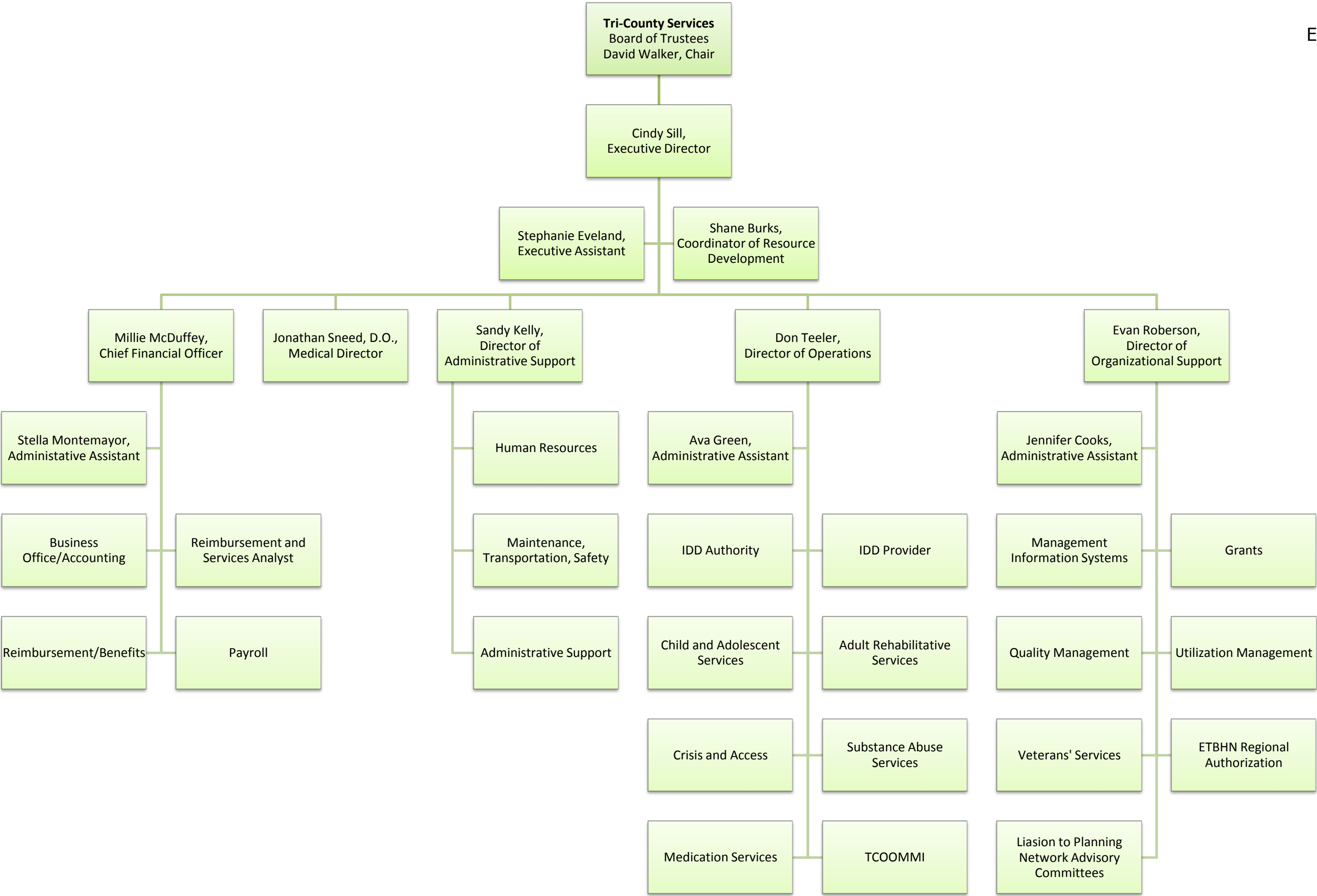
Tri-County Services, A Community Center  
As a Governmental Entity

Submitted to the Department of State Health Services and the Department of Aging and Disability Services

Approved: \_\_\_\_\_  
David Walker Chairperson, Board of Trustees

Date of Approval: \_\_\_\_\_

DRAFT



Tri-County Services  
Board of Trustees  
2012

BOARD MEMBERSTERM EXPIRESMontgomery County


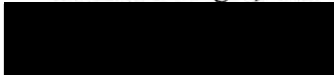
David Walker, Chairman	9/2014
Janet Qureshi	9/2014
Sharon Walker	9/2013

Liberty County

Brad Browder, Vice Chairman	9/2013
Cecil McKnight	9/2014
Patti Atkins	9/2013

Walker County

Morris Johnson	9/2013
Tracy Sorensen, Secretary	9/2013
Vacant Position	9/2014

**TRI-COUNTY SERVICES**STATEMENT OF POLICY  
Cecil McKnight, Chairman  


Date \_\_\_\_\_

Subject: By-Laws

Original Effective Date: June 29, 1995  
Revision Date: August 21, 1997  
Revision Date: July 22, 2010

**CHAPTER I****PURPOSES****Section 1. SPONSORING AGENCIES**

The Commissioner's Courts of Liberty, Montgomery, and Walker Counties, as local agencies, have established Tri-County Services ("Center") as a community mental health and intellectual and developmental disabilities center to provide a vital component in a continuum of services for persons in its service area who have mental illness or developmental disabilities. Tri-County Services was originally established 1983.

**Section 2. GOAL**

The goal of such comprehensive mental health, intellectual and developmental disabilities, and substance addiction programs shall be services which are adequate as to quantity, quality, scope, availability, and accessibility for the Center's service area. The Center shall plan, coordinate, develop policy, develop and allocate resources, supervise and ensure the provision of community services.

**Section 3. REPORTING**

To facilitate the goal of such comprehensive services, cooperative efforts of each county, other governmental agencies, individual practitioners, associations of professional disciplines, and citizen representatives shall be utilized. The Center shall report annually to the three (3) Commissioners Courts as provided by Section 534.014 of the Texas Health and Safety Code.

**Section 4. AUTHORITY**

Tri-County Services shall operate as a Community Mental Health and Mental Retardation Center as authorized by Section 534.001 of the Texas Health and Safety

Code and in accordance with the rules and regulations of the Texas Department of Aging and Disability Services and the Texas Department of State Health Services.

## CHAPTER II

### BOARD OF TRUSTEES

#### Section 1. MEMBERSHIP

##### A. APPOINTMENT OF MEMBERS:

The Board of Trustees of Tri-County Services shall be comprised of nine members (Section 534.003 Health and Safety Code). The Commissioner's Court of each county shall appoint, in compliance with Section 534.004 of the Texas Health and Safety Code, three Board members from the qualified voters in their counties. The Board members so appointed shall serve staggered terms. All appointments will be for a term of two (2) years or until their successors are appointed.

The following county appointments for Trustees shall be used:

Liberty County	<b>Three Representatives</b>
Place 1	Term expires September 1, 1995 and thereafter in odd numbered years
Place 2 & 3	Term expires September 1, 1996 and thereafter in even numbered years
Montgomery County	<b>Three Representatives</b>
Place 4	Term expires September 1, 1995 and thereafter in odd numbered years
Place 5 & 6	Term expires September 1, 1996 and thereafter in even numbered years
Walker County	<b>Three Representatives</b>
Place 7	Term expires September 1, 1995 and thereafter in odd numbered years
Place 8 & 9	Term expires September 1, 1996 and thereafter in even numbered years

##### B. VACANCIES:

A vacancy of the Board of Trustees shall be filled by the appropriate Commissioner's Court for the unexpired portion of the term within sixty (60) days of the vacancy.

Any member who does not attend 75% of the scheduled Board meetings, within the preceding twelve months, without excused absences, shall receive recommendation of termination from the Board of Trustees; at which time, the appointing Commissioner's Court may replace such trustees by action of the Commissioner's Court.

##### C. EXCUSED ABSENCES:

Excused absences are those absences approved by a majority of a quorum of the Board.



D. ORIENTATION AND CONTINUING EDUCATION:

The Board of Trustees will maintain a program for orientation of new Board members and continuing education for all Board members consistent with Section 534.006 Health and Safety code.

E. PROHIBITED ACTIVITIES:

1. Violation of Laws

A Board Member shall not violate any law relating to his or her office. (Section 39.10 Texas Penal Code)

2. Conflicting Interests

a. Board Members may serve on other boards separate and apart from Tri-County Services and such is not determined a conflict of interest. Board of Trustee members should abstain from voting on any matter which directly or indirectly relates to contracts or reimbursement to or from Tri-County Services , or any matter which relates to interrelated issues of the two (2) boards. Such abstentions should be duly noted in the Board minutes.

b. A Board Member shall abstain from a Board decision to contract with any entity having on its board a person related in the first degree by consanguinity (blood) or affinity (marriage) to a member of the Board of Trustees of the Center.

c. A Board Member shall abstain from a Board decision to contract with any entity that may provide services to a person related in the first degree by consanguinity (blood) or affinity (marriage) to a member of the Board of Trustees of the Center.

d. A Board Member shall not act as surety for a business entity that has work, business, or a contract with the Center. (171.003 Local Government Code)

e. A Board Member shall not act as surety on any official bond required of an officer of the Center. (171.003 Local Government Code)

f. A Board Member shall not rely on official information to acquire or assist another person in acquiring a financial interest in a transaction that may be affected by the information; a Board Member shall not speculate or assist another person in speculating on the basis of official information. (39.03 Texas Penal Code)

3. Conflicting Professional Practices



- a. No Board Member shall be reimbursed for services to consumers referred to his or her private practice by the Center. (Texas Attorney General's Opinion M-340)
- b. No Board Member shall be allowed use of the Center's facilities free of charge for the purpose of conducting a private practice. Any agreement whereby a Board Member leases property from the Center shall be discussed and voted on by the Board in an open meeting. (Section 534.0065 Health and Safety Code).
- c. No Board Member shall use his or her unique access to the Center to recruit or build private practice clientele.

#### 4. Personal Benefit by Board Members

- a. A Board Member shall not solicit, accept, nor agree to accept from another person:
  - 1. any benefit in return for the Board Member's decision, opinion, recommendation, vote, or other exercise of discretion as a public servant; or (Section 534.0065 Health and Safety Code)
  - 2. any benefit in return for a violation of a duty imposed by law. (Section 36.02, Texas Penal Code)
- b. A Board Member shall not solicit, accept, nor agree to accept any benefit from a person the Board Member knows is interested or is likely to become interested in contract, purchase, payment, claim, or transaction involving the exercise of the Board Member's discretion. (Section 36.08, Texas Penal Code)
- c. A Board Member shall not receive any benefit for referral of consumers to the Center or to other service providers.
- d. A Board Member shall not misapply anything of value belonging to the government that has come into his or her possession by virtue of his or her office. (Section 39.01, Texas Penal Code)

#### F. NEPOTISM

- 1. No Board Member shall appoint or vote for or confirm the appointment of any person related to himself or herself, or to any other Board Member, by affinity (marriage) within the second degree or by consanguinity (blood) within the third degree, to any office or position of employment with the Center paid for directly or indirectly from public funds. (Section 534.0065 Health and Safety Code)
- 2. An employee of the Center who is related to a Board Member in the prohibited manner described above may continue to be employed if he or she was employed by the Center at least thirty (30) days prior to the appointment of the Board

Member. If the individual has been employed by the Center for less than thirty (30) days when his or her relative is appointed to the Board, either the employee or the Board Member must resign.

3. When a relative of a Board Member is allowed to continue employment within the provisions outlined above, the Board Member must not participate in deliberation or voting on any issues specific to that employee unless such issues affect an entire class or category of employees. (Health and Safety Code 534.0115)

G. A Trustee may be removed from office for any of the following reasons:

1. Conviction of a felony or crime of moral turpitude;
2. Breach of fiduciary duty;
3. Behavior that is detrimental to the goals of the Center;
4. Violation of any provision of the Texas Health and Safety Code, §534.0065; or
5. At the discretion of the appointing Commissioners' Court, for other cause.

## Section 2. ORGANIZATION

### A. OFFICERS:

The Board of Trustees shall select from its membership a Chairman, Vice-Chairman, and Secretary to hold office for one (1) year or until his or her successor is elected. The officers shall have the following duties and authority:

#### 1. Chairman

- a. The Chairman shall be the principal spokesperson and representative of the Center and the Board.
- b. The Chairman shall preside at all Board meetings and meetings of the Executive Committee and may sign, with the Secretary or any other designated individual authorized by the Board, all contracts, agreements and documents which the Board has authorized. The Chairman shall call special meetings of the Board as necessary and shall perform such duties as may be from time to time prescribed by the Board.
- c. The Chairman shall be, as all officers, subject to the control of the Board in all things.

#### 2. Vice-Chairman

The Vice-Chairman shall perform all duties of the Chairman in the absence, inability, or upon refusal to act of the Chairman.

#### 3. Secretary



The Secretary shall keep, or cause to be kept, the Minutes of the Board and perform all other duties usually incident to that office.

4. Removal and Vacancy

- a. A vacancy in office shall exist upon the removal, death or resignation of an officer.
- b. An officer may resign his or her office by submitting his or her resignation in writing to the Chairman or Secretary and shall be effective upon acceptance by the Board. Any officer may resign his or her office without resigning from the Board.
- c. Any officer may be removed from office upon a vote of five members of the Board.
- d. When a vacancy in office occurs a special election for that office will be held at the next regular or specially called meeting of the Board.

5. Election of Officers

Elections will be held in August or as soon as possible thereafter. A special election may be called prior to the end of any term if a total five Board Members approve of such special election. The terms of such specially elected officers will then coincide and terminate with the terms of the prior officeholders.

B. MEETINGS

1. The Board of Trustees shall meet as often as necessary to transact and conduct business of the Center, but shall hold a minimum of six (6) meetings within any one fiscal year conducted at a time and place that makes the meeting accessible to the public. Over fifty percent of the filled Board positions shall constitute a quorum. All meetings shall be conducted in accordance with the Texas Open Meeting Laws and the public shall be invited to attend unless closed meetings are allowed as provided by Article 6252-17 of Vernon's Annotated Civil Statutes, or as specifically permitted in the Constitution of the State of Texas. The Chairman may conduct the meetings in compliance with Robert's Rules of Order.
2. Special Meetings. The Board Chairman may call special meetings at any time.

C. AGENDAS AND MEETING MINUTES:

1. Agendas for Board and Committee meetings will be established by the Chairman and Executive Director and shall be posted as provided by the Texas Open Meeting Laws. Those materials necessary for adequate consideration and action of agenda items will be distributed to all Board Members sufficiently ahead of time to allow members to prepare for the meetings.
2. Written minutes shall be kept of all meetings of the Board. Approved Board meeting minutes shall be bound and maintained in a safe place. Copies of the

approved minutes of Board meetings will be distributed to officials of the Texas Department of Aging and Disability Services and the Texas Department of State Health Services in Austin, Texas, upon request.

D. COMMITTEES:

1. Standing Committees

The Board will use a committee structure to conduct major portions of work. Each Board Member will serve on at least one (1) committee and appointments may be changed as necessary. Standing committees of the Board will consist of the following:

Executive Committee  
Business Committee  
Program Committee

2. Purpose

Board committees operate as a part of the Board and do not independently function for the Board. Committees serve as specific functionaries of the Board.

3. Appointments

At any time the Chairman will be responsible for making committee appointments including the appointment of a chairman for such committees. The Chairman may from time to time find the need for ad hoc committees which may be appointed by the Chairman for a specific task and period of duration.

The appointment of committees shall not relieve the Board of its responsibility and accountability. No act of a committee shall be effective or binding upon the Board unless ratified by the Board.

4. Duties

The duties of the aforementioned committees are generally outlined (but not limited to) the following:

a. Executive Committee

The Board Officers (including the Chairman, Vice-Chairman, and Secretary) will make up this Committee. The Board Chairman will chair the committee and will call meetings as deemed necessary. Such matters will generally relate to the administration of Tri-County Services including personnel.

b. Business Committee

This committee will in general review those matters pertaining to business operations of Tri-County Services which might include some

detail of financial reports, cash flow matters, business policies, real estate, etc.

The Business Committee will consist of not more than four (4) Board Members appointed by the Board Chairman.

c. Program Committee

This committee will in general review those matters pertaining to program operations of Tri-County Services. Such reviews might include some detail of monthly program reports, community relations; special needs to be addressed by center programs, etc.

The Program Committee will consist of not more than four (4) Board Members appointed by the Board Chairman.

Section 3. FUNCTIONS

A. RESPONSIBILITIES:

The Board of Trustees shall be responsible for the provision of a comprehensive program of mental health and intellectual and developmental disabilities services in its service area and for the effective administration of the community center (Section 534.008 Health and Safety Code).

B. POLICIES:

The Board of Trustees shall make policies that are consistent with the Texas Department of Aging and Disability Services and the Texas Department of State Health Services' rules and standards (Section 534.008 Health and Safety Code)

C. AUTHORITY:

The Board of Trustees may discharge its responsibility by exercising its authority consistent with the provision of the Health and Safety Code Chapter 534. The Board of Trustees shall establish, periodically review, and modify as necessary, personnel policies. For this purpose the Executive Director shall submit proposed policies to the appropriate Committee of the Board of Trustees which shall review and recommend personnel policies to the Board.

### CHAPTER III

#### EXECUTIVE DIRECTOR AND PERSONNEL

Section 1 SELECTION

The Board of Trustees shall appoint the Executive Director for the Center.



## Section 2      **QUALIFICATIONS**

The Executive Director shall be a professionally trained person, qualified to administer a comprehensive mental health and intellectual and developmental disabilities program.

## Section 3      **DUTIES**

The Executive Director:

- a. Shall provide the necessary staff services to the Board of Trustees, attend meetings of the Board, and shall be responsible for the programs of the Board.
- b. Shall be responsible for the day to day operations of the Center and the implementation of Board policy.
- c. Subject to the policies of the Board, shall be responsible for the selecting, hiring, training, assigning or dismissal of personnel for the administration of services and programs.
- d. Subject to the policies of the Board, may delegate responsibilities to his or her immediate administrative staff or other Services personnel.
- e. Shall attend meetings of Advisory Committees or shall delegate this responsibility to a member of the Leadership Team.

## **CHAPTER IV**

### **ADVISORY COMMITTEES**

#### Section 1      **CREATION**

The Board of Trustees may appoint advisory committees to advise that body, or other appropriate groups dealing with the planning, provision, and administration of mental health and intellectual and developmental disabilities services. These advisory committees should represent a broad spectrum of community interest.

## **CHAPTER V**

### **DISSOLUTION**

#### Section 1      **DISTRIBUTION OF ASSETS**

Upon dissolution of Tri-County Services, any and all assets, of both a real and personal nature, shall revert back to the sponsoring agencies (i.e., Commissioner's Courts of Liberty, Montgomery and Walker Counties) for exclusive public use or other charitable purposes.

## CHAPTER VI

### CHANGE OF BY-LAWS

#### Section 1      REVIEW OF BY-LAWS

The Board of Trustees shall from time to time review and amend these By-Laws, if indicated.

#### Section 2      CHANGING THE BY-LAWS

- a.      Any changes in By-Laws must be proposed in written form and presented to the Board at a regular or called meeting.
- b.      The proposed changes may be voted on at any subsequent meeting that occurs at least twenty-six (26) days after the proposed changes were first presented to the Board.
- c.      The Board shall adopt any changes to the By-Laws by majority vote of a duly constituted quorum.

STATE OF TEXAS                   §  
COUNTIES OF MONTGOMERY   §  
LIBERTY AND WALKER       §

CONTRACT

WHEREAS, the Counties of Montgomery, Liberty and Walker have been and are experiencing a period of rapid growth and development, which severely taxes each county's ability to provide adequate treatment and allied services of its mentally ill and retarded citizens; and

WHEREAS, the Legislature of the State of Texas declared that it is the public policy of the State of Texas "to encourage local agencies and provide organizations to assume responsibility for the effective administration of mental health and mental retardation services with the assistance, cooperation, and support of the Texas Department of Mental Health and Mental Retardation". [Article 5547-201, Section 1.01(b), V.T.C.S.]; and

WHEREAS, the Legislature has further declared that it is the policy "that when appropriate and feasible, mentally ill and mentally retarded persons shall be afforded treatment in their own communities" [Article 5547-201, Section 1.01(c)]; and

THEREFORE, the Commissioners Courts of Montgomery County, Liberty County, and Walker County hereby agree to enter into this contract to plan for the establishment and operation of a network of mental health and mental retardation services. The name of this organization shall be Tri County Mental Health Mental Retardation Services.

I. The Commissioners Courts of Montgomery County, Liberty County, and Walker County hereby agree to jointly appoint a Board of Trustees from qualified voters of the three counties to be responsible for the administration of the Center. The terms of such Trustees shall be staggered by appointing not less than one-third (1/3), nor more than one-half (1/2), members for one year terms, or until their successors are appointed, and by appointing the remaining members for two year terms, or until their successors are appointed. Thereafter, all appointments will be for two year terms, or until their successors are appointed.

The following county representative scheme for Trustees shall be used:



Montgomery County

Three (3) Representatives  
(2 for 2 year terms, 1 for  
1 year term)

Liberty County

Three (3) Representatives  
(2 for 2 year terms, 1 for  
1 year term)

Walker County

Three (3) Representatives  
(2 for 2 year terms, 1 for  
1 year term)

II. Such Board of Trustees may request for and cooperate with the Texas Department of Mental Health and Mental Retardation for assistance, advice, and consultation in the planning, development, and operation of the Tri County Mental Health Mental Retardation Services.

III. Matching grant in aid funds from each County will be based equally on percentage of population and percentage of program utilization.

IV. It is expressly provided that Tri County Mental Health Mental Retardation Services shall begin delivery of services no later than September 1, 1983.

V. It is expressly provided that this contract may be terminated, renegotiated, or amended by any county giving (120) days' written notice to the other parties.

Signed this [redacted] day of [redacted], 1983.

[redacted]  
Liberty County

[redacted]  
Honorable Jimmie C. Edwards, III  
Montgomery County

[redacted]  
Honorable Ralph Davis  
Walker County

<b>Agenda Item:</b> Consider Request for Granting of Easement for 117 North College Avenue, Cleveland, TX	<b>Board Meeting Date</b>
<b>Committee:</b> Business	December 13, 2012
<b>Background Information:</b>	
<p>Mayor Jill Kirkonis, City of Cleveland, contacted the Executive Director late last month about Tri-County granting a parking and other improvement easement for the property located at 117 North College Avenue. The City of Cleveland is planning to make significant beautification improvements in the downtown area, including the area surrounding this building. This property has been on the market for quite some time and one of the barriers to selling it has been the lack of parking.</p>	
<p>I sent the Easement documents to David Deaton and Brian Harris, Jackson Walker, for review and comment and I notated their comments on the attached documents. Basically, Mr. Harris stated that the easement was a fairly standard document, but it needs a little "clean-up" as shown on the document.</p>	
<b>Supporting Documentation:</b>	
Easement Dedication Document and Artist Renderings of the Parking Area	
<b>Recommended Action:</b>	
<b>Consider Approval of Easement for 117 North College Avenue, Cleveland, Texas Subject to Inclusion of the Revisions Recommended by Counsel</b>	

DEDICATION OF EASEMENT

THE STATE OF TEXAS

§

KNOW ALL MEN BY THESE PRESENTS:

COUNTY OF LIBERTY

§

§

That [all property owners with an interest in the parking area listed here], hereinafter (should have separate easement)  
collectively referred to as "Grantors," for and in consideration of the sum of ten dollars (\$10.00)  
and other good and valuable consideration paid to Grantors by the City of Cleveland, Texas,  
hereinafter called "Grantee," the receipt and sufficiency of which are hereby acknowledged and  
confessed, have GRANTED, SOLD, and CONVEYED, and by these presents do hereby  
GRANT, SELL, and CONVEY unto the Grantee, its successors, assigns, and legal  
representatives, a perpetual easement for parking lot and other related improvements, including  
(at Grantee's sole cost and expense) the right to construct, operate, maintain, inspect, replace, and remove such improvements, along,  
across, over, and under that certain tract or parcel of land in Liberty County, Texas, described by  
metes and bounds in Exhibit "A" attached hereto, and described by survey plat in Exhibit "B"  
attached hereto, both Exhibits being incorporated herein by this reference for all purposes.

The Grantee may do and perform all acts necessary (subject to all things currently of  
inspect, replace, and remove said parking lot and related improvements along, across, over, and  
under said easement, and Grantee shall have the right to cut, trim, and remove trees, brush, or  
shrubbery, or weeds, or to otherwise remove any improvements, which may encroach upon,  
burden, or interfere with the easement herein granted. Grantors shall bear all physical and  
financial burdens of removing and/or replacing improvements (hereafter)  
placed in the easement, which  
interfere with the easement and the rights and privileges herein granted. Grantors retain, reserve,  
and shall continue to enjoy the use of the easement area for any and all purposes, which do not  
interfere with or prevent the use by Grantee of the easement, rights, and privileges granted

herein, subject to all applicable laws and regulations of the State of Texas or its political subdivisions, including Grantee.

The easement and the rights and privileges herein granted shall be perpetual and Grantors covenant that Grantors will not convey any other easement, or any other right, within or conflicting with the area of the easement herein granted. This instrument shall be binding upon the successors, assigns, legal representatives, heirs, executors, and administrators of the Grantors and the Grantee.

TO HAVE AND TO HOLD the above described easement unto the said Grantee, its successors, assigns, and legal representatives. Grantors hereby bind Grantors and Grantors' heirs, executors, administrators, successors, and assigns to Grantee and its successors, assigns, and legal representatives, against every person whomsoever lawfully claiming or to claim the same or any part thereof.

EXECUTED this \_\_\_\_ day of \_\_\_\_\_, 2012.

GRANTORS:

\_\_\_\_\_  
Property Owner  
Title: \_\_\_\_\_

\_\_\_\_\_  
Property Owner  
Title: \_\_\_\_\_

\_\_\_\_\_  
Property Owner  
Title: \_\_\_\_\_  
  
\_\_\_\_\_

Property Owner  
Title: \_\_\_\_\_

\_\_\_\_\_  
Property Owner  
Title: \_\_\_\_\_

\_\_\_\_\_  
Property Owner  
Title: \_\_\_\_\_

[as many individual owners as necessary]

ADDRESS OF GRANTEE:

The City of Cleveland  
907 E. Houston St.  
Cleveland, TX 77327

Attachments: EXHIBIT "A" – Metes and Bounds  
EXHIBIT "B" – Survey Plat

<p><b>Agenda Item:</b> Authorize Tri-County Board Officers to Execute the HUD Firm Commitment for Capital Advance Forms for Independence Oaks Apartments, Cleveland, TX</p> <p><b>Committee:</b> Business</p>	<p><b>Board Meeting Date</b></p> <p>December 13, 2012</p>
<p><b>Background Information:</b></p> <p>The Cleveland Supported Housing, Inc. (CSHI) Board had a meeting on December 6<sup>th</sup> to approve submission of documents associated with the Firm Commitment and to receive extensive project updates.</p> <p>Tri-County staff and the rest of the project team had a teleconference with Houston HUD staff on October 30, 2012. On this call, staff updated HUD on the status of four pending foundation applications. HUD reviewed a preliminary budget and had some suggestions for cost reduction which would not affect the long-term function of the apartments. HUD asked that staff submit a Firm Commitment Application to them by the end of December so they could process it in January of 2013. The Firm Commitment Application shows HUD that all regulatory and design hurdles are cleared for Initial Closing.</p> <p>HUD has agreed to seek Amendment Funds for the project if foundation applications are not successful. Two of the four foundations will have an opportunity to review the project and make a funding decision by the time the Firm Commitment Application is in. A third foundation is scheduled to meet in early January. The fourth foundation notified us two weeks ago that it would take three to six months before they would review the funding request. Staff is eager to get the project underway and the first step in this process is an approved Firm Commitment Application.</p> <p>Site design is underway and the proposed site plan is attached. The site will require a ½ acre water retention area as reflected in the attached site plan.</p> <p>Associated with the Firm Commitment, Mr. Walker and Ms. Sorenson are asked to sign a few documents on behalf of the Board. These same documents have been required for the previous two projects. They are:</p> <ul style="list-style-type: none"> <li>• Identity of Interest and Disclosure Certification for Tri-County</li> <li>• Identity of Interest and Disclosure Certification as temporary management agent (Tri-County has served in this role until the housing Board selects a Management Agent)</li> <li>• Credit check as sponsor</li> <li>• Statement that the Board will serve as sponsor and consultant</li> <li>• Previous participation agreement</li> <li>• Verification of Deposit Form</li> <li>• Incumbency Certificate</li> </ul> <p>These documents will be available for Board members to review at the Board meeting.</p>	
<p><b>Supporting Documentation:</b></p> <p>Proposed Site Design</p> <p>Summary of Firm Commitment Forms</p>	
<p><b>Recommended Action:</b></p> <p><b>Authorize Tri-County Board Officers to Execute the HUD Firm Commitment for Capital Advance Forms for Independence Oaks Apartments, Cleveland, TX</b></p>	

# Summary of HUD Firm Commitment Forms

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**Identity of Interest and Disclosure Certification** – This form certifies that no member of the Owner Board is part of the development team, no owner has a financial interest in the project, nothing of value has been provided/promised by the Board to partners, no one has a financial interest in the development team, there are no family relations with a development team member, and that no compensation will be accepted for Board membership.

**Supplement to Application for a Multifamily Housing Project (Credit Check Authorization)** – There is one of these forms for Mr. Walker to sign on behalf of Tri-County. The form allows HUD to check credit on those persons who will oversee their funds. We will also need to provide and check ‘yes’ or ‘no’ to the four credit questions. If the answer are ‘yes’, a brief explanation will need to be provided about those answers prior to submission for the firm.

**Management Entity Profile (HUD-9832)** – The Management Entity Profile document gives HUD information about our internal processes for management of the apartments. As a reminder, Tri-County does not anticipate serving as the management agent, but will serve as a ‘placeholder’ for management agent responsibilities until CSHI chooses an agent sometime during the construction process.

**Project Owner/Management Agent Certification** – This document is an agreement between CSHI and Tri-County to manage the project. This form will also be signed by Brad Browder, President of CSHI.

**Feasibility Certification** – This is just a paragraph which says that Tri-County has determined that it would be feasible to manage Independence Place. This document has the same caveat as the Management Entity Profile.

**Statement Sponsor acting as both sponsor and consultant** – By acting as a consultant on the project, Tri-County is able draw down funds which can be used to support our costs or to contribute to project overruns.

**Previous Participation Certification** – This form includes a list of project that Tri-County, as sponsor, has previously participated in. In our case, both of these projects have been with the same HUD office, but some sponsors develop across sates or regions. HUD will verify that each of these projects is in good standing.

**Request for Verification of Deposit** – Our bank must verify that Tri-County has an account which could receive a deposit.

**Incumbency Certificate** – This is a list of Board Directors and terms.





<p><b>Agenda Item:</b> Approve 3<sup>rd</sup> Payment of Non-Refundable Option Money to the Property Owner for the Independence Oaks Project Site</p> <p><b>Committee:</b> Business</p>	<p><b>Board Meeting Date</b></p> <p>December 13, 2012</p>
<p><b>Background Information:</b></p> <p>After Board approval, Cindy Sill signed an Option to Purchase for a piece of property in Cleveland. The initial term of the Option would have expired June 30, 2012, but the Board authorized Cindy Sill to extend the option for 3 months in June and for three additional months in September. An additional payment is due by December 30, 2012 to extend the option to March 30, 2013.</p> <p>According to the Option, "Purchaser may extend the term of this Option for up to four (4) additional periods of three (3) months each. Should Purchaser desire to so extend the term of this Option, Purchaser shall pay Seller the sum of Two Thousand Five Hundred and NO/100 Dollars (\$2,500.00) which must be paid on or before the expiration of the initial or <b>extended term then in effect.</b>" <b>These 'extension option fees' will apply toward the final purchase price but are not refundable if Cleveland Supported Housing, Inc. (CSHI) does not purchase the property for some reason.</b></p> <p>The Property Option was developed and approved by David Deaton of Jackson Walker.</p> <p>The Cleveland Supported Housing, Inc. Board met Thursday, December 6, 2012, to begin processing Firm Commitment paperwork and appears to be on tract to complete Initial Closing (where land can be purchased) prior to the June 30, 2013 Option to Purchase deadline. If the Board is not ready for Initial Closing by June 30<sup>th</sup>, an extension of the option will be requested from the ownership group.</p> <p>Staff is seeking Board approval for the use of Tri-County funds to pay these extension option fees as CSHI works toward Firm Commitment and eventual funding from HUD.</p>	
<p><b>Supporting Documentation:</b></p> <p>None</p>	
<p><b>Recommended Action:</b></p> <p><b>Approve 3<sup>rd</sup> Payment of Non-Refundable Option Money to the Property Owner for the Independence Oaks Project Site</b></p>	

<b>Agenda Item:</b> Reappoint Independence Communities, Inc. Board of Directors  <b>Committee:</b> Business	<b>Board Meeting Date</b>  December 13, 2012
<b>Background Information:</b>  <p>Mr. Leonard Peck, Mr. Len George, and Mrs. Barbara Duren are serving Independence Communities, Inc. Board terms which expire in January 2013. Mr. Peck serves as the President of the Board, and Mrs. Duren serves as the Vice President of the Board. Mr. Peck and Mrs. Duren have been contacted and are willing to server to serve an additional two year term, which would expire in January 2015.</p> <p>Mr. Len George has not resigned from the ICI Board at this time. Staff requests that the Board reappoint Mr. George to an additional 2 year term while he is recovering from his recent medical problems. The housing boards can be attended by phone and staff believes that he may be willing to serve after further recovery. Of course, he is able to resign at any time in the future if he chooses to do so.</p>	
<b>Supporting Documentation:</b>  None	
<b>Recommended Action:</b>  <b>Reappoint Mr. Leonard Peck, Mr. Len George, and Mrs. Barbara Duren to Serve on the Independence Communities, Inc. Board of Directors for an Additional Two Year Term Expiring in January 2015</b>	

<b>Agenda Item:</b> Reappoint Montgomery Supported Housing, Inc. Board of Directors	<b>Board Meeting Date</b>
<b>Committee:</b> Business	December 13, 2012
<b>Background Information:</b>  Mrs. Sharon Walker and Mr. William Bonito are serving Montgomery Supported Housing, Inc. Board terms which expire in January 2013. Mr. Bonito 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 2015.	
<b>Supporting Documentation:</b>	
None	
<b>Recommended Action:</b>  <b>Reappoint Mrs. Sharon Walker and Mr. William Bonito to Serve on the Montgomery Supported Housing, Inc. Board of Directors for an Additional Two Year Term Expiring in January 2015</b>	

<b>Agenda Item:</b> Reappoint Cleveland Supported Housing, Inc. Board of Directors  <b>Committee:</b> Business	<b>Board Meeting Date</b>  December 13, 2012
<b>Background Information:</b>  Mr. David Walker, Ms. Margie Powell, and Mrs. Barbara Duren are serving Independence Communities, Inc. Board terms which expire in January 2013. Mr. Walker serves as the Vice President of the Board, and Ms. Powell serves as the Secretary/Treasurer of the Board. All three have been contacted and are willing to serve an additional two year term, which would expire in January 2015.	
<b>Supporting Documentation:</b>  None	
<b>Recommended Action:</b>  <b>Reappoint Mr. David Walker, Ms. Margie Powell, and Mrs. Barbara Duren to Serve on the Cleveland Supported Housing, Inc. Board of Directors for an Additional Two Year Term Expiring in January 2015</b>	

<b>Agenda Item:</b> October 2012 Board of Trustees' Unit Financial Statement  <b>Committee:</b> Business	<b>Board Meeting Date</b>  December 13, 2012
<b>Background Information:</b>  None	
<b>Supporting Documentation:</b>  October 2012 Board of Trustees' Unit Financial Statement	
<b>Recommended Action:</b>  <b>For Information Only</b>	

# Unit Financial Statement

FY 2013

	October 12 Actuals	October 12 Budgeted	Variance	YTD Actual	YTD Budget	Variance	Percent	Budget
Revenues								
80103998 Allocated Revenue	\$ 2,699.00	\$ 2,699.00	\$ -	\$ 5,398.00	\$ 5,398.00	\$ -	100.00%	\$ 32,395.00
Total Revenue	\$ 2,699.00	\$ 2,699.00	\$ -	\$ 5,398.00	\$ 5,398.00	\$ -	100.00%	\$ 32,395.00
Expenses								
80105030 Application Fees	\$ -	\$ 2.00	\$ (2.00)	\$ -	\$ 4.00	\$ (4.00)	0.00%	\$ 15.00
80105275 Food Items	\$ 188.47	\$ 184.00	\$ 4.47	\$ 188.47	\$ 368.00	\$ (179.53)	51.21%	\$ 2,200.00
80105320 Insurance-Worker Compensation	\$ 6.63	\$ 20.00	\$ (13.37)	\$ 16.10	\$ 40.00	\$ (23.90)	40.25%	\$ 230.00
80105388 Legal Fees	\$ 1,500.00	\$ 1,500.00	\$ -	\$ 3,000.00	\$ 3,000.00	\$ -	100.00%	\$ 18,000.00
80105394 License Fees	\$ -	\$ 12.00	\$ (12.00)	\$ -	\$ 24.00	\$ (24.00)	0.00%	\$ 150.00
80105750 Training	\$ -	\$ 250.00	\$ (250.00)	\$ -	\$ 500.00	\$ (500.00)	0.00%	\$ 3,000.00
80105755 Travel - Local	\$ 77.77	\$ 100.00	\$ (22.23)	\$ 155.54	\$ 200.00	\$ (44.46)	77.77%	\$ 1,200.00
80105757 Travel - Non-local Mileage/Air	\$ -	\$ 166.00	\$ (166.00)	\$ -	\$ 332.00	\$ (332.00)	0.00%	\$ 2,000.00
80105758 Travel - Non-local Hotel	\$ -	\$ 384.00	\$ (384.00)	\$ -	\$ 768.00	\$ (768.00)	0.00%	\$ 4,600.00
80105759 Travel - Meals	\$ -	\$ 84.00	\$ (84.00)	\$ -	\$ 168.00	\$ (168.00)	0.00%	\$ 1,000.00
Total Expenses	\$ 1,772.87	\$ 2,702.00	\$ (929.13)	\$ 3,360.11	\$ 5,404.00	\$ (2,043.89)	62.18%	\$ 32,395.00
Total Revenue minus Expenses	\$ 926.13	\$ (3.00)	\$ 929.13	\$ 2,037.89	\$ (6.00)	\$ 2,043.89	37.82%	\$ -

<b>Agenda Item:</b> Montgomery Supported Housing, Inc. Quarterly Update  <b>Committee:</b> Business	<b>Board Meeting Date</b>  December 13, 2012
<b>Background Information:</b>  The Montgomery Supported Housing, Inc. (MSHI) Board will meet December 14, 2012.  At the December 14 <sup>th</sup> Board meeting, the MSHI Board will receive project updates from Tri-County Staff and McDougal Property Management. The project will finish the year with less revenue than expense, largely due to unexpected legal expense, and therefore McDougal Property Management has submitted a rent increase request to HUD. McDougal expects to have word regarding this rent increase in the near future. The project has remained stable in the last few months and appears to have overcome most of the earlier challenges.  The apartments remain full and there are 12 approved individuals on the waiting list. There are additional applications which are being processed by McDougal staff.	
<b>Supporting Documentation:</b>  None	
<b>Recommended Action:</b>  <b>For Information Only</b>	

# UPCOMING MEETINGS

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## **January 24<sup>th</sup>, 2013 – Board Meeting**

- Approve Minutes from December 13, 2012 Board Meeting
- Shining Star Awards
- From the Heart Presentation
- Community Resources Report for November & December 2012
- Consumer Services Reports for November & December 2012
- Program Updates for November & December 2012
- Year-to-Date FY 2013 Goals & Objectives Progress Report
- 1<sup>st</sup> Quarter FY 2013 Corporate Compliance & Quality Management Report
- 2<sup>nd</sup> Quarter FY 2013 Corporate Compliance Training
- Personnel Report for December 2012
- Texas Council Quarterly Board Meeting Update
- Approve November & December 2012 Financial Statements
- Approve FY 2012 Independent Financial Audit
- Approve Lease for Campbell Street Property
- Approve Retirement Plan Investment Policy
- 1<sup>st</sup> Quarter FY 2013 Investment Report
- Board of Trustees' Unit Financial Statements for November & December 2012
- Other Business Committee Issues

## **February 28<sup>th</sup>, 2013 – Board Meeting**

- Approve Minutes from January 24, 2012 Board Meeting
- Longevity Recognition Presentations – October 2012 through January 2013
- Community Resources Report for January 2013
- Consumer Services Reports for January 2013
- Program Updates for January 2013
- Program Presentation – Family Partner Services
- Personnel Report for January 2013
- Approve January 2013 Financial Statements
- 401(a) Retirement Plan Account Review
- Board of Trustees' Unit Financial Statement for January 2013
- Montgomery Supported Housing, Inc. Quarterly Update
- Cleveland Supported Housing, Inc. Quarterly Update
- Other Business Committee Issues

