

# Cover Sheet

Funder you are applying to: St. Francis Foundation

Legal Name of Applicant Organization: Casa Serena, Inc.

Contact Person & Title: Craig Belknap, Executive Director

Phone: (805) 564-8701 Fax: (805) 884-9010 Contact Person's Email: [craig@casaserena.org](mailto:craig@casaserena.org)

Program Name/Capital Request: General Operating

Funds will pay for: Salaries of our Certified Addictions Treatment Counselors

Full Mailing Address: 1515 Bath Street, Santa Barbara, CA 93101

Location(s) if different from above: \_\_\_\_\_

Executive Director: Craig Belknap Email: [Craig@casaserena.org](mailto:Craig@casaserena.org)

Fax: (805) 884-9010 Phone: (805) 564-8701

Website: www.casaserena.org

Tax-exempt Status: {Most funders require 501(c)(3) status. Check this requirement before applying}

501(c)(3) Granted  Other: Tax ID: 95-2862385

**Type of Request:** Check with individual funders to determine the types of accepted grant requests.

**Note: Check all that apply.**

General Support  Program Support  Seed Funding  Research

Capital  Endowment  Multi-Year  Collaborative

This Grant Request: \$15,000 Of Total Budget: \$840,000

Funds will be used from: January 1, 2012 To: December 31, 2012

Total Organizational Budget -Current Year: \$840,000 Agency fiscal year begins: July 1, 2011

Summarize the organization's mission statement (two to three sentences):

To provide effective treatment services and a safe, sober living environment to women seeking recovery from the disease of alcoholism or drug addiction; to introduce them to the philosophy of Alcoholics Anonymous and the 12-Step process; and to promote community awareness of Casa Serena's services.

Summarize your grant request (two to three sentences):

We are requesting a general operating grant of \$15,000 to support the salaries of our Addictions Counselors. Our counselors are integral to the program and we would not be able to execute our mission without them.

**Proposal Authorization:** We certify that the information in this application is to the best of our knowledge true and accurate and is submitted with our Board of Directors'/Governing Body's full knowledge and endorsement:

Michael Olsen Signature  
Michael Olsen, Board President Date: October 24, 2011

Name of Authorized Board/Governing Body Representative Signature Date

Craig Belknap Signature  
Craig Belknap, Executive Director Date: October 24, 2011

Name of Lead Staff Member (or 2<sup>nd</sup> Representative) Signature Date

# Proposal Narrative

## **Background**

### **1. History and accomplishments.**

Founded in 1959, this is Casa Serena's 52<sup>nd</sup> year working in the Santa Barbara community to provide treatment to women for the diseases of alcoholism and drug addiction. Each year, approximately 85 women are served through our program. The first phase of treatment is a structured 90-day program at Main House (capacity of 18). After two weeks of intense counseling they are expected to seek employment and begin the process of becoming self supporting. Next, women can choose to participate in one of two continuation programs: Grad House (capacity of eight), for women not parenting minor children, or Oliver House (capacity of four women and eight children), for mothers and their children. For up to a year (or two years for Oliver House), women receive the support needed to build a solid foundation on which to base their recovery and establish their lives as sober women. Each year, approximately 85 women are served through our program. In compliance with licensing requirements, Casa Serena's key staff are Certified Addictions Treatment Counselors (or are working toward certification) or Marriage and Family Therapist (MFT) interns. All staff are supervised weekly by a licensed MFT. Casa Serena is the only non-denominational residential treatment facility for women in Santa Barbara County that is licensed by the State of California. We have approximately 20 volunteers who help us with various projects and community outreach and provide our clients with services such as yoga, meditation, self defense, and art therapy. One hundred percent of Casa Serena's Board of Directors contributes financially and participates in fundraising efforts. We serve women ages 18 to 70 from all ethnic backgrounds and their children. Our clients come from Los Angeles, Ventura, Santa Barbara and San Luis Obispo counties, with the majority from Santa Barbara.

### **2. Current programs and activities.**

Casa Serena provides safe housing, meals (at Main house only), individualized treatment plans, extensive group and individual counseling (two to three hours per week), life skills training, peer support, introduction to the 12-Step recovery philosophy, family process groups, parenting education, career counseling, addiction education, and relapse prevention services. Casa Serena provides education and testing resources for HIV and Hepatitis C, and coordinates care with Social Services, Probation, and Parole. Our clients tend to be addicted to multiple chemical substances, and over 70 percent suffer with co-occurring mental disorders such as post-traumatic stress disorder, anxiety, bi-polar disorder, and depression resulting from physical, sexual, and emotional abuse. Because these women require specialized treatment to address their unique issues, Casa Serena has adopted a gender-specific program based on Stephanie Covington's model, "Helping Women Recover," which deals with the trauma, abuse, and violence that is unique to women. Addicted women with children often have even more complex issues to deal with. Casa Serena's Oliver House, the only treatment program in Santa Barbara where recovering women can live with their children, provides women with the counseling, parenting education, and support needed to repair their families. Approximately 80 percent of our clients finish the first 30 days of treatment and 53 percent complete the full 90 days.

### **3. Organization's relationships.**

Casa Serena enlists the support of community members as well as other organizations providing interrelated services. Casa Serena receives support from Santa Barbara County Alcohol Drug and Mental Health Services, CalWORKS, Child Welfare Services, and the Food Bank of Santa Barbara. We also receive and provide referrals to Domestic Violence Solutions (DVS), the Santa Barbara Rape Crisis Center, Casa Esperanza's Homeless Shelter, the Sheriff's Treatment Program, and Cottage Hospital Residential (CRC). In addition to referrals, Casa Esperanza's nurse practitioner provides Casa Serena's indigent clients with free health care screenings. Santa Barbara Neighborhood Clinics provide Casa Serena's clients with HIV and Hepatitis C testing. In Santa Barbara, we continue to be the only licensed residential treatment facility for women, and we are also the only secular residential program for women. Lastly, we are the only local residential program where women can live with children.

## **Funding Request**

### **1. Tell us *how* the funds will be used. Why *are you* seeking general support at this time?**

We are requesting a general operating grant of \$15,000 to support our addictions treatment counselors' salaries. These staff members are the cornerstone of our program, and we would not be able to execute our mission without them.

Casa Serena is seeking increased general support at this time because of the difficult economic climate which has led to drastic funding cuts from government agencies. Before the economic crisis, Casa Serena relied on funding from Santa Barbara County Alcohol Drug and Mental Health Services (ADMHS) in order to supplement client fee income from women who were court-ordered or working with legal agencies such as Child Welfare Services and did not have adequate means to enter Casa Serena's program. In 2008, ADMHS cut the amount of funding they provide to Casa Serena by 40 percent (\$83,000). In order to remain viable, Casa Serena was forced to eliminate our First Steps Case Management program. In 2009, Casa Serena lost an additional \$32,500 of funding from Prop 36, a program that offers non-violent drug related offenders rehabilitation instead of jail time. Again, Casa Serena coped with the shortfall by cutting other general expenses (building maintenance, program staff, and counselors' salaries). In July 2010, we lost an additional \$36,000 of funding from ADMHS for drug testing supplies, perinatal care, treatment for mothers at Oliver House, and the Welfare to Work program at Oliver House (which provides childcare, job training, school transportation, and food stamps to mothers in treatment). This cut has forced Casa Serena to reduce staff salaries, defer building maintenance, and cut other general expenses in order to defray these losses for clients.

The economic crisis has also increased the number of women in need of scholarships, as well as the amount of funding needed per client. Before the economic crisis, Casa Serena was providing approximately three women with a total of \$2,000 of scholarship funding each month. Currently, Casa Serena is providing approximately eight women with a total of \$7,500 of scholarship funding each month. In the past, Casa Serena provided financial aid for the first month of programming and after thirty days, most women were able to find employment and pay for the next two months with little or no scholarship funding from Casa Serena. Now, as a result of the economic downturn, our clients are finding it difficult to obtain gainful employment within a reasonable amount of time, and therefore are frequently unable to pay for the second and third months of treatment. Another contributing factor is that family support has decreased significantly. Our presumption is that because of the economy, relatives of addicted women are not as able to offer financial support.

As a result of losing \$151,500 over the last three years, we have had to reduce our staff from five counselors (four full-time and one part-time) to three full-time counselors and one part-time counselor. This reduction has resulted in extremely demanding case-loads for Casa Serena's counselors, program assistants, and our program director. Currently, clients receive less individual counseling than in past years because of these staff reductions. We have also eliminated programs such as First Steps Case Management (a referral service for perinatal clients), body image therapy, domestic violence and crisis intervention counseling, and made cuts to our family therapy nights. If Casa Serena does not receive increased general operating funding this year, we may be forced to further reduce our program and/or staff. Further reductions to Casa Serena's staff could result in serving 20 to 30 percent fewer women next year. The need for general operating funding is paramount in order for Casa Serena to continue to provide the current level of service for women struggling with addiction in Santa Barbara.

### **2. Tell us your organization's goals and the specific outcomes you project for the grant period.**

For the next year, Casa Serena's goal is to maintain our current level of service. This means that:

- approximately 85 women will be treated at Casa Serena
- 80 percent of clients will complete the first 30 days of treatment
- 53 percent of clients will complete the full 90-day program

- 88 percent of clients who participate in the Grad House or Oliver House programs will leave gainfully employed or enrolled in college

### 3. How do you plan to evaluate the effectiveness or impact of the grant?

We will know if we are accomplishing our mission in the following ways:

- Maintaining our client numbers: With decreasing funding and increasing need for scholarships from clients, there is a danger that we may not be able to serve all the women who need our help. If we maintain a full or nearly full house for most of the year, this will mean that we are reaching as many women as possible with our services.
- Monitoring our graduation rates: We use graduation rates as a measurement of success because we do not have the financial resources to do long-term tracking of our clients' sobriety rates after they leave our program. Also, our clients tend to move around a lot, and it would be very difficult to track a representative sample of our graduates in order to assess our long-term success. By maintaining our current graduation rates, we will know if we are continuing to meet our mission of helping women recover from drug and alcohol addiction.
- Feedback from clients: Every client fills out an exit evaluation, and the majority absolutely rave about how much they got out of the program. Here are two quotes from some recent evaluations:

*"It is one of the best treatment residential centers I've been to, and I've been to many. The program does work if we are ready and work it, one day at a time."*

*"I feel that my chances of maintaining sobriety are greater because of Casa Serena. I am amazed at all the love, support, and compassion from staff. It's wonderful. There is a tremendous amount of caring that goes on here. It brings tears to my eyes."*

### 4. Summarize the skills and relevant experience of key staff/volunteers. If the organization is collaborating with other organizations, note which ones and in what ways.

Page 4

**Craig Belknap, Executive Director:** Craig brings over 31 years of experience in treating chemical dependency to Casa Serena, including nine years as the Executive Director of Nexus, a residential treatment program for women in Texas. He is very active in the local recovery community. Currently, he is a member of the Board of Directors for the Salvation Army, a panel member for Carp Cares and a consultant for several local organizations on issues of conflict resolution and chemical dependency.

**Nancy Belknap, Program Director:** Nancy has been working at Casa Serena since 2003. Nancy began as a counselor at Main House and in 2004 became the lead counselor at Grad House. She is a Certified Addictions Treatment Counselor as well as a Certified Relapse Prevention Therapist through the Gorski Institute. She is certified in the Matrix Model of Methamphetamine treatment. Nancy has also worked as a counselor for the Salvation Army in Carpinteria and Visiting Nurse and Hospice Care in Santa Barbara. Nancy received her Bachelor's Degree from the University of South Africa.

**Anna Drake, MFT Intern, Main House Counselor:** Anna provides group and individual counseling at Casa Serena's Main House. She has a B.A. in American Studies and Politics from the University of California and an M.A. in Clinical Psychology with an emphasis in Marriage and Family Therapy from Antioch University. Anna has also fulfilled the Post-Professional Specialization in Addiction Counseling and is currently awaiting certification. Anna has worked with a variety of populations including at-risk youth, those who are dually-diagnosed, and indigent adults.

**Lacey Johnson, Marriage and Family Therapist Intern:** Lacey provides group and individual counseling weekly at Oliver House. She has a B.S. in Health Promotions from Northern Arizona University and an M.A. in Clinical Psychology, with an emphasis in Marriage and Family Therapy from

Antioch University. Lacey has worked in a variety of therapeutic settings including outpatient chemical dependency programs, Santa Barbara Cottage Hospital, and Santa Barbara schools serving at-risk youth. She is also employed at U.C. Santa Barbara in the Alcohol and Drug Program.

**Sandy Mistretta, *Oliver House Counselor*:** Sandy provides individual and group addiction counseling weekly at Oliver House. Sandy graduated from Casa Serena's recovery program in 2009. She was inspired to become a Certified Addictions Treatment Counselor, and is due to graduate from Santa Barbara City College this spring with honors. After her CATC is complete, Sandy will continue at Antioch University to receive her B.A. in applied psychology.

**Denise McIntosh, *Resident Advisor*:** Denise lives at the Oliver House and manages the day-to-day operations. Although she is paid for eight hours a day, she provides 24 hour emergency assistance, transportation, and crisis intervention for women and their children. Denise is an alumna and fearless advocate of Casa Serena's recovery program. Denise graduated in 2007 after completing a year at Casa Serena and began working here in 2008.

**Marisa Pasquini, *Development Director*:** Marisa recently came to Casa Serena from Alpha Resource Center, where she was the Development Associate/Marketing Coordinator for nearly four years. Her experience in donor cultivation, marketing, event planning, and public speaking position her well to lead our development effort.

#### **5. If full funding is not available, what is the contingency plan?**

If full funding is not available, Casa Serena will continue to seek general support from foundations, businesses, and individuals. If we are unable to raise the funding needed, we may be forced to further reduce our staff which would result in serving fewer women in the 2011-12 fiscal year. We have three major new strategies for our fundraising effort:

- **Marketing Plan:** Under the leadership of one of our board members, we are creating and implementing a brand new marketing plan which will work in conjunction with our development efforts.
- **New Development Director:** Casa Serena sought a development director with not just development, but marketing savvy as well. Our new Development Director has over 10 years of sales and marketing experience, and seven years in development.
- **Corporate Support:** We will be targeting businesses in order to increase corporate contributions, as well as to market our services to human resources departments. We want to inform larger businesses that we are an affordable resource to them if they want to assist any of their employees with alcohol or drug recovery. In most cases, it is less expensive to pay for rehabilitating an employee than it is to recruit and train a new employee. We also plan to focus on decreasing expenses by seeking in-kind donations from local businesses to supplement costs such as food, maintenance, office supplies, and linens. For example, in the last year we received both carpeting and hardwood flooring at significantly reduced costs due to generous donations from businesses.

#### **6. Is there any other pertinent information you feel we should know?**

Casa Serena's programs empower women and help them develop the skills needed to live productive, fulfilling lives free from addiction. These skills extend through many needed areas of a woman's life including parenting, health, relationships, anger and stress management, and financial self-sufficiency. Casa Serena's program also prevents negative outcomes such as homelessness, crime, and severe ill health or even death. Casa Serena teaches women to be safe, healthy, and self-sufficient which makes a life-changing difference for women, their families, and our community.

## Board of Directors/Governing Body

**Directions:** Attach additional sheets if necessary.

Name	City	Affiliation/Profession	Board Position	Yrs. of Service
Robbin Behrens	Santa Barbara	Property Management	Dev-Mktg Co-chair	New
Valerie Cavanaugh	Santa Barbara	Attorney	Secretary	2
Marcia Reed	Santa Barbara	Chamber of Commerce	VP/Nom. Com. Chair/Dev-Mktg	3
Nan Schooley	Santa Barbara	MFT Cottage Hospital	Program Co-Chair/Dev-Mktg	New
Marilyn Gillard	Santa Barbara	Television & Film Production	Dev-Mktg Co-Chair	New
Mart Keefe	Santa Barbara	Cottage Residential Center	Program Co-Chair/Dev-Mktg	New
Charles McBride	Santa Barbara	Community Volunteer	Treasurer/Finance Chair	1.5
Mike Olsen	Santa Barbara	Community Volunteer	President/Finance	2.5
Bob Steele	Santa Barbara	Engineer	Bldg & Grounds Chair	New
Douglas Jackson	Santa Barbara	Physician	Board member	New
Fred Rifkin	Santa Barbara	Retired Business Owner	Board member	New

How often do the Board / Governing Body meet? 1 time per month except for December

## Organization Financial Summary

Organization Name: Casa Serena  
 Fiscal Year Dates: July 1, 2011 - June 30, 2012

**INCOME** (Government grants, foundation grants, individuals, business support, events, fees for service, etc.)

Source	Prior Year's Actual 30-Jun-11	Projected Annual Budget 2011-12	YTD Actual (\$) Sept. 30, 2011
Client Fees	\$288,850	\$275,000	\$23,995
Individual Contributions	\$288,667	\$165,000	\$12,755
Foundations	\$176,500	\$220,000	
Government Contracts	\$104,002	\$79,000	\$6,580
Other Operating Revenues	\$7,335	\$6,000	\$512
Investments	\$41,886	\$95,000	7956
<b>TOTAL INCOME</b>	<b>\$ 907,240.00</b>	<b>\$ 840,000.00</b>	<b>\$ 51,798.00</b>

List the In-Kind (non-cash) contributions: clothing, food, kitchen and other appliances, linens, dishware, furniture, toys, books, and volunteer services such as yoga and meditation.

**EXPENSES** (Salaries, professional fees, rent and utilities, travel, publicity/outreach, events, etc.)

Item	Prior Year's Actual 30-Jun-11	Annual Budget 2011-12	YTD Actual (\$) Sept. 30, 2011
Salaries and Benefits	\$543,318	\$572,200	\$47,656
Building Maintenance	\$43,252	\$46,100	\$3,241
Utilities/Phone for Residents	\$36,807	\$37,500	\$3,122
Food for Residents	\$42,051	\$44,000	\$3,504
Program Expenses	\$28,659	\$30,000	\$2,388
Vehicle Expense	\$5,765	\$7,000	\$480
Insurance	\$15,856	\$16,300	\$4,075
Marketing	\$5,510		
Development and Fundraising	\$16,696	\$16,000	\$2,310
Dues and Subscriptions	\$1,214	\$2,000	
Licenses and Fees	\$9,241	\$4,000	
Professional Services	\$55,411	\$55,000	\$4,480
Office Expense	\$7,894	\$8,000	\$1,009
Equipment	\$141	\$200	
Staff Professional Development	\$1,129	\$1,500	
Board Expense	\$213	\$200	
<b>TOTAL EXPENSES</b>	<b>\$813,157</b>	<b>\$840,000</b>	<b>\$ 24,609.00</b>
<b>NET PROFIT OR LOSS</b>	<b>\$ 94,083.00</b>	<b>\$ -</b>	<b>\$ 27,189.00</b>
Total Capital Expenses			\$

*i.e., computers, vehicles, building improvements, etc:*

Explanatory Notes:

**Applicant Name: Casa Serena**

**Organization Balance Sheet Summary**

**Note:** Check with each foundation to see if this form is required.

	MOST CURRENT (\$)	PRIOR YEAR CLOSE (\$)
ASSETS	Sept. 30, 2011	30-Jun-11
<b>Current Assets</b>		
Cash and Equivalents	\$ 368,948.00	\$ 384,262.00
Accounts Receivable	\$ 6,877.00	\$ 1,597.00
Prepaid Expenses	\$ 2,500.00	
Inventory		
Grants/Pledges Receivable		
Other:		
<b>Fixed assets (Net)</b>		
Property	\$ 292,597.00	\$ 292,597.00
Buildings	\$ 620,357.00	\$ 620,357.00
Equipment	\$ 8,358.00	\$ 8,394.00
<b>Investments</b>		
Endowments	\$ 1,007,923.00	\$ 1,182,559.00
Other:		
<b>TOTAL ASSETS</b>	\$ 2,307,560.00	\$ 2,489,766.00
<b>LIABILITIES</b>		
<b>Current Liabilities</b>		
Accounts Payable	\$ 11,228.00	\$ 9,499.00
Accrued Expenses	\$ 57,509.00	\$ 132,726.00
Long Term Debt (Current Portion)		
Short Term Debt		
Other:		
<b>Long Term Debt (over a year)</b>		
Loan		
Other:		
<b>TOTAL LIABILITIES</b>	\$ 68,737.00	\$ 142,225.00
<b>NET ASSETS</b>		
Unrestricted	\$ 2,165,127.00	\$ 2,221,171.00
Temporarily Restricted	\$ 73,695.00	\$ 126,333.00
Permanently Restricted		
<b>TOTAL LIABILITIES</b>		
<b>AND NET ASSETS</b>	\$ 2,307,559.00	\$ 2,489,729.00



Internal Revenue Service

Department of the Treasury

P. O. Box 2508  
Cincinnati, OH 45201

Date: January 15, 2000

Person to Contact:  
Daphne Naegele 31-04012  
Customer Service Representative

Casa Serena  
1515 Bath St.  
Santa Barbara, CA 93101-3024

Telephone Number:  
877-829-5500  
Fax Number:  
513-263-3756  
Federal Identification Number:  
95-2862385

Dear Sir or Madam:

This letter is in response to your telephone request on January 15, 2000, for a copy of your organization's determination letter. This letter will take the place of the copy you requested.

Our records indicate that a determination letter issued in March 1974, granted your organization exemption from federal income tax under section 501(c)(3) of the Internal Revenue Code. That letter is still in effect.

Based on information subsequently submitted, we classified your organization as one that is not a private foundation within the meaning of section 509(a) of the Code because it is an organization described in section 509(a)(2).

This classification was based on the assumption that your organization's operations would continue as stated in the application. If your organization's sources of support, or its character, method of operations, or purposes have changed, please let us know so we can consider the effect of the change on the exempt status and foundation status of your organization.

Your organization is required to file Form 990, Return of Organization Exempt from Income Tax, only if its gross receipts each year are normally more than \$25,000. If a return is required, it must be filed by the 15th day of the fifth month after the end of the organization's annual accounting period. The law imposes a penalty of \$20 a day, up to a maximum of \$10,000, when a return is filed late, unless there is reasonable cause for the delay.

All exempt organizations (unless specifically excluded) are liable for taxes under the Federal Insurance Contributions Act (social security taxes) on remuneration of \$100 or more paid to each employee during a calendar year. Your organization is not liable for the tax imposed under the Federal Unemployment Tax Act (FUTA).

Organizations that are not private foundations are not subject to the excise taxes under Chapter 42 of the Code. However, these organizations are not automatically exempt from other federal excise taxes.

Donors may deduct contributions to your organization as provided in section 170 of the Code. Bequests, legacies, devises, transfers, or gifts to your organization or for its use are deductible for federal estate and gift tax purposes if they meet the applicable provisions of sections 2055, 2106, and 2522 of the Code.