



March 17, 2015

Ms. Debbie Cloud, Executive Director  
St. Francis Foundation  
2323 De la Vina Street, Suite 104  
Santa Barbara, CA 93105

Dear Ms. Cloud,

Following is Casa Serena's final report on the use of the St. Francis Foundation's \$7,500 grant for general operating support. As you know, Casa Serena's mission is to provide effective treatment services and a safe, sober living environment to women seeking recovery from addiction to alcohol and other drugs, introduce the philosophy of Alcoholics Anonymous and the 12-Step process, and educate the community about Casa Serena's services. It is through the continued support of organizations like the St. Francis Foundation that we are able to offer these services to approximately 100 women and 15 children each year, regardless of their ability to pay.

For 2013-14, 57 percent of the women completed our 90-day program, a four percent increase over last year, and 12 percent higher than the national average (Columbia National Advisory Comm. on Addiction, 2012). Eighty-eight percent of clients who continue for six months or more leave Casa Serena gainfully employed or enrolled in college, returning to the community as successful, contributing members. We also maintained our client numbers by serving an unduplicated total of 107 women and 16 children. We served 95 women through Main House, 27 women through Grad House, and 12 women and 16 children through Oliver House. (Some of these women were served through both Main House and Grad House/Oliver House, which is why the total is more than 107.) Of the women we served, 48 received a scholarship, and 39 clients were considered to be at the low- to extremely low-income level. In total, we provided \$95,501 worth of scholarships, a 5 percent increase over last fiscal year.

Though it can be difficult to measure the individual progress of each client after she leaves Casa Serena, client testimonials allow us to assess the effectiveness of our services. Below is a quote that illustrates the impact of our program:

*"Thanks for saving my life, and giving me the help, inspiration, and motivation to participate in my life and future. Casa has helped give me a life I only dreamed about. I feel blessed to be part of the Casa family."*

*"I feel restored and back to peace, happiness, joy and self-confidence."*

*"I will never forget the day when my little girl came running through the door at Oliver House yelling "Mommy, Mommy, I get to live with you again!"*



Casa Serena's board of directors is in the process of searching for a new executive director. I have assumed the position of the organization's interim executive director until a new leader is found. Please do not hesitate to contact me at (805) 570-2806 if you have any questions about the recruitment effort, the upcoming leadership transition, or if you require additional information.

Sincerely,

Douglas R. Jackson, M.D.  
Board President and Interim Executive Director

**Cover Sheet- (One Page Maximum)**

Funder you are applying to: St. Francis Foundation

Legal Name of Applicant Organization: Casa Serena

Contact Person & Title: Christina Kelley, Operations Director

Phone: 805-770-2559 Fax: 805-884-9010 Contact Person's Email: ckelley@casaserena.org

Program Name/Capital Request: General Operating Support

Funds will pay for: General Operating

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

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

Executive Director: Douglas Jackson, M.D. Email: djackson@casaserena.org

Fax: 805-884-9010 Phone: 805-570-2806

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 Number: 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: \$10,000 Of Total Budget: \$1,003,200

Funds will be used from: 07/01/2015 To: 06/30/2016

Total Organizational Budget Current Year: \$1,003,200 Agency fiscal year begins: July 1

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

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

**Summarize your grant request (two to three sentences):**

We are requesting a general operating grant of \$10,000, which will allow us to execute our mission successfully. Funding would support staff salaries, program costs, and operating costs.

**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:



Douglas Jackson, Interim Executive Director 2/27/2015

Name of Authorized Board/Governing Body Representative Title Signature Date



Christina Kelley, Operations Director 2/27/2015

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

# Proposal Narrative

## Background

### **1. Your organization's history and accomplishments.**

Since 1959, Casa Serena has been helping women recover from addiction to alcohol and other drugs. Casa Serena is a state licensed, non-denominational residential recovery treatment program. Annually, we serve 100 women and 10-20 children from all ethnic backgrounds. For up to two years, women can receive support in our program to build a solid foundation on which to base their recovery and re-establish their lives as sober women. Casa Serena's key staff are Certified Addictions Treatment Counselors or Marriage and Family Therapist (MFT) interns; all are supervised weekly by a licensed MFT. Our gender-specific program deals with the trauma, abuse, and violence that are unique to women in recovery. Our program prevents negative outcomes such as homelessness, crime, severe ill health, and even death. Our program is very successful, with approximately 70 percent of clients completing the first 30 days, and 57 percent completing the full 90-day program.

### **2. Your current programs and activities. Include the constituency you serve ...**

Casa Serena's clients are adult women, from all ethnic backgrounds, and their children. Approximately 88 percent of our clients are Caucasian, 8 percent Latina/Hispanic, and 4 percent African American, Native American, Asian, or other ethnicities. Approximately 60 percent live below the poverty line, and 29 percent are homeless upon entering our program. Of those who are homeless when they arrive, 18 percent are chronically homeless. Approximately 58 percent of our clients are from Santa Barbara County, 21 percent from Ventura County, and 9 percent from San Luis Obispo County. Casa Serena provides safe housing, meals, individualized treatment plans and counseling, extensive group counseling, introduction and support in the 12-Step recovery philosophy, family therapy, parenting support, career counseling, addiction education, and aftercare services once they leave the program. Casa Serena provides drug and alcohol testing, HIV and hepatitis C testing through collaboration with the Westside Clinic, and referrals to affordable healthcare. We coordinate case management with Social Services (including Child Welfare Services) and law enforcement agencies. In addition to our core curriculum, we provide volunteer-led classes such as yoga, meditation, self-defense, and art.

### **3. Your organization's relationships with other organizations working to meet the same need.**

Casa Serena works closely with Santa Barbara County Alcohol Drug and Mental Health Services, Child Welfare Services, and the Food Bank of Santa Barbara County. We also receive and provide referrals to Domestic Violence Solutions, the Santa Barbara Rape Crisis Center, Casa Esperanza's Homeless Shelter, the Sheriff's Treatment Program, and Cottage Hospital Residential. The Santa Barbara Neighborhood Clinics provide Casa Serena's clients with HIV and Hepatitis C testing. In Santa Barbara, we continue to be the only non-denominational residential treatment facility for women in Santa Barbara that is licensed by the State of California. We are also the only local residential program where women can live with children. Other residential treatment programs exist but they are either faith-based (Santa Barbara Rescue Mission's Bethel House), co-ed (Salvation Army's Hospitality House), or are cost-prohibitive. There are several sober living programs for women but they are not licensed and do not provide treatment for addiction.

## Funding Request

### **1. What need or problem does your project work to address?**

In addition to meeting the general need of providing drug and alcohol addiction treatment in our community, there are other specific needs that Casa Serena meets:

- Women-Specific Treatment: 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 women require specialized treatment to address their unique issues, Casa Serena has adopted a gender-specific program 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. Oliver House provides women with the counseling, parenting support, and assistance needed to repair their families.
- Affordable Treatment: Many women in our community in need of addiction treatment cannot afford other, more expensive programs. Casa Serena's policy is that we do not turn away a woman in need of recovery services simply because she cannot afford to pay. Many of the women who apply to our program are homeless, living in poverty, or do not have familial support. Casa Serena provides need-based scholarships in order to serve women who are unable to pay the regular client fees of \$2,400 per month at Main House (actual cost of service is approximately \$3,400). The economic crisis has also increased the number of women in need of scholarships, as well as the amount of funding needed per client. In the past, we would provide scholarships for the first month, after which time most women were able to find employment and pay for the next two months with little or no scholarship funding. Now, clients are finding it more difficult to obtain employment, and so are frequently unable to pay for the second and third months of treatment. Another contributing factor is that family support has decreased significantly. In 2013-14 we awarded over \$95,500 in scholarships to 48 of the women we serve.
- Critical Needs: By helping women get their lives back on track, our program helps prevent and address negative outcomes such as chronic homelessness, premature death, severe ill health, and child abuse and neglect, as illustrated by the following facts:
  - Substance abuse is often the cause of homelessness, and according to Didenko and Pankratz (2007), two-thirds of homeless people report that drugs and/or alcohol were a major reason for their becoming homeless.
  - Studies show that the life expectancy of addicts is shorter than the general population. A study out of the University of Birmingham found that people who use hard drugs into middle age are more likely to die at a younger age than the general population.
  - A 2001 study out of UCLA found that half of heroin addicts die prematurely, and that there were high rates of disability, hepatitis, mental health problems, and criminal activity among this population as well.
  - Research has demonstrated that children of parents with substance use disorders are more likely to experience abuse or neglect than children in other households (DeBellis et al., 2001; Hanson et al., 2006). Child Welfare Services estimates that up to two-thirds of child abuse and neglect involves substance abuse.

### **2. In a short paragraph, tell us your project's (or organization's) goals and outcomes...**

Our program objectives for the next year are:

- For at least 53 percent of our clients to successfully complete our 90-day program.
- To continue providing scholarships to 45 percent of our clients.
- To serve 100 women.

### **3. Describe your project or the capital items requested...**

N/A (this is a general support request)

4. **If this is a request for General Support, what are your organization’s most pressing needs.**

Our most pressing needs at this point are the following:

- Scholarships for Low-Income Women  
A general operating grant would enable us to continue offering scholarships to low-income women. Currently, 50 percent of the women that we serve require some sort of financial support, either in the form of government assistance or a scholarship from us. Approximately 45 percent of the women who come through our program receive scholarships from us, but this number could be higher if we had more funding for it.
- Planning for the Future  
Under the leadership of Dr. Douglas Jackson, who is also currently acting as Interim Executive Director, the board has started a strategic planning process that will determine our programmatic direction and identify strategies to build sustainability as an organization. General operating support would help us as we begin to plan for the future.

5. **How do you plan to evaluate the effectiveness or impact of the project?**

The national average for completion of a 30-day treatment program is 55 percent (*source: CASA Columbia National Advisory Commission on Addiction Treatment, 2012*). Casa Serena’s completion rate for 30 days of treatment is 70 percent—15 percent higher than the national average. Our 90-day completion rate is 12 percent higher than the national average, with 57 percent of our clients graduating as compared to only 45 percent nationally. We attribute this higher success rate to a number of things, including:

- Evidence-Based Practices: Our gender-specific programs—including Helping Women Recover and Seeking Safety—deal with the trauma, abuse, and violence that are unique to women in recovery. These programs are evidence-based, and include the motivational interview through which clients set their own treatment goals; techniques that help women learn to handle difficult emotions; cognitive interventions in which addicts learn to question assumptions that reinforce their addiction habits; and educational strategies that focus on positive potential rather than pathology.
- Social Support: One of the common factors in relapse is feeling loneliness due to the inability to spend time with old friends who still use drugs. Casa’s program builds strong communities of women who provide healthy, sober friendship circles for women who are newly in recovery.
- Child-Friendly: Mothers will sometimes leave treatment early in order to be with their children, or they may never enter treatment at all. For women with children, Oliver House provides an option to receive treatment while keeping the family together.

We will evaluate the success of our program through tracking graduation rates and scholarship recipients, as well as through client exit surveys. The majority of our clients rave about how much they got out of the program. Here are two quotes from some recent evaluations:

*“Casa Serena has taught me so much. First, it made me realize what addiction can do to someone. It taught me that this is hard work. It also taught me that I have a five year old little boy that needs me. Most of all, Casa Serena taught me that I can move forward in my life, stay clean, and be a good parent. All the hard work is worth getting your life back.”*

*“The support has been life changing for me. I was absolutely hopeless before I came here. I had no dreams. No self-love. They gave me all the room I needed to grow without harsh words or judgment. This environment helped me grow from the inside out. am now self-supporting and I am free of self-loathing. I have peace on a level that I never knew existed. Casa Serena helped me find it.”*

6. **Summarize the skills and relevant experience of key staff/volunteers...**

***Douglas Jackson, M.D., Interim Executive Director and Board President:*** Dr. Douglas Jackson is a family practice physician who has worked in Santa Barbara since 1978. Over the course of his career, he has been chief of medical staff at Goleta Valley Community Hospital, president of the Santa Barbara Chapter of the California Academy of Family Physicians, and director of the Santa Barbara Medical Foundation Clinic Occupational Medicine Department. He also spent several years as the medical director of VNA Hospice of Santa Barbara. As the co-owner of a medical group, Douglas has experience in financial oversight and administration, and combined with three years serving on the Casa Serena board, he is an extremely capable leader to oversee Casa Serena's search for a new executive director.

***Christina Kelley, Operations Director:*** Christina comes to Casa Serena with experience in executive administration, human resources, fiscal management, donor relationships, and substance abuse treatment. Before joining Casa Serena, she worked at Santa Barbara City College in the Professional Development Department, and at local corporations in various capacities. Christina holds an A.S. in human resources administration and an A.A. in drug and alcohol counseling. She recently completed her B.A. in liberal arts with an applied psychology concentration and is working on her Masters in Social Work. Christina has been with Casa Serena since 2012.

***Sandy Mistretta, Program Director:*** 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 graduated from Santa Barbara City College program with honors. Sandy is enrolled at Antioch University where she earned her Bachelor's degree in Applied Psychology and is currently working on her Masters in Clinical Psychology.

***Anna Drake, MFT Intern, Oliver and Grad House Counselor:*** Anna provides group and individual counseling to clients at Casa Serena. 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.

***Kristine Freck, MFT, Main House Counselor:*** Kristine has over 20 years experience as a licensed Marriage and Family Therapist, and 10 years experience as a front line staff person and administrator in residential treatment programs for adults with chronic mental health, substance abuse, and developmental disabilities. She has also worked as a crisis counselor in a hospital emergency room and as counselor with Santa Barbara County District Attorney's Victim Witness Unit. She holds a Masters in Counseling Psychology from Pacifica Graduate Institute.

***Board of Directors:*** Our Board of Directors is comprised of a variety of professionals, whose wide range of skills can help us achieve our goals, including an engineer, general contractor, television and film producer, executive director in the arts, physician, and two attorneys.

7. **If full funding is not available through this request, how will you proceed? Please explain.**

If full funding is not available through this request, we will continue to seek funding from other sources. If our budget is not fully funded, we will not be able to increase the number of scholarships we provide.

## Board of Directors/Governing Body

Name	City	Affiliation/Profession	Board Position	Member Since	Term Ends
Doug Jackson	Goleta	Physician	President	2011	2014
Robbin Behrens	Santa Barbara	Property Manager	Vice President	2011	2014
Valerie Cavanaugh	Santa Barbara	Attorney	Secretary	2009	2015
Bob Steele	Santa Barbara	Engineer	Treasurer	2011	2014
Ralph Binney	Carpinteria	General Contractor	Bldg/Grounds Chair	2012	2015
Sandy Stahl	Santa Barbara	Realtor	Board member	2014	2016
Dick Ellison	Santa Barbara	Publisher	Board member	2013	2016
Miki Garcia	Santa Barbara	Executive Director, Museum of Contemporary Art	Board member	2013	2016
Marilyn Gillard	Santa Barbara	Television & Film Producer	Development/Marketing Comm. Co-Chair	2011	2014
Carolyn Groth-Marnat	Santa Barbara	Marriage & Family Therapist	Board member	2013	2016
Bruce MacKenzie	Santa Barbara	Retired Attorney	Personnel Committee Chair	2012	2015
Charles McBride	Santa Barbara	Retired Businessperson	Board member	2014	2017
Bruce Read	Santa Barbara	Clinical Coordinator	Finance Co-Chair	2014	2017

How often does the Board / Governing Body meet?

1 time per month except for December

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**Applicant Name: Casa Serena****Organization Financial Summary**

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

**INCOME**

*Possible categories: Government grants, foundation grants, individuals, business support, events, fees for service, etc.*

Source	Prior Year's Actual (\$) 30-Jun-14	Projected Annual Budget 2014-15	YTD Actual (\$) 31-Jan-15
Client Fees	\$ 344,843	\$ 350,000	\$ 207,014
Donations	\$ 166,806	\$ 150,000	\$ 128,552
Grants	\$ 243,147	\$ 250,000	\$ 263,448
Other Operating Revenues	\$ 5,009	\$ 5,000	\$ 3,601
Government Contracts	\$ 71,940	\$ 99,900	\$ 63,586
Deferred Scholarships	\$ 95,500	\$ 95,000	\$ 55,698
Endowment Transfer	\$ 198,819	\$ 53,300	
<b>TOTAL INCOME</b>	<b>\$ 1,126,064</b>	<b>\$ 1,003,200</b>	<b>\$ 721,899</b>

List the In-Kind (non-cash) contributions: Clothing, food, services

**EXPENSES**

*Possible categories: Salaries, professional fees, rent and utilities, travel, publicity/outreach, events, etc.*

Item	Prior Year's Actual (\$) 30-Jun-14	Annual Budget (\$) Budget 2014-15	YTD Actual (\$) 31-Jan-15
Salaries and Benefits	\$ 573,047	\$ 559,300	\$ 371,532
Bldg. Maintenance	\$ 96,411	\$ 55,800	\$ 45,305
Property Tax	\$ 85	\$ 100	\$ 86
Utilities	\$ 33,265	\$ 33,000	\$ 18,803
Telephone	\$ 6,390	\$ 6,500	\$ 5,443
Food	\$ 67,823	\$ 70,800	\$ 28,515
Program Expense	\$ 27,009	\$ 25,000	\$ 21,320
Scholarships	\$ 95,500	\$ 95,000	\$ 55,698
Insurance	\$ 25,241	\$ 27,000	\$ 18,743
Auto	\$ 4,231	\$ 5,000	\$ 936
Development Expenses	\$ 29,117	\$ 20,000	\$ 23,399
Marketing	\$ -	\$ 20,000	\$ 990
Dues & Subscriptions	\$ 2,392	\$ 2,100	\$ 2,236
Licenses & Fees	\$ 4,564	\$ 4,500	\$ 2,028
Professional Services	\$ 61,162	\$ 65,000	\$ 37,946
Office Expense	\$ 7,547	\$ 7,000	\$ 8,080
Small Equipment	\$ 2,038	\$ 200	\$ -
Staff Education	\$ 718	\$ 3,500	\$ 1,630
Board Expense	\$ 3,309	\$ 3,400	\$ 751
<b>TOTAL EXPENSES</b>	<b>\$ 1,039,849</b>	<b>\$ 1,003,200</b>	<b>\$ 643,441</b>
<b>NET PROFIT OR LOSS</b>	<b>\$ 86,215</b>	<b>\$ -</b>	<b>\$ 78,458</b>

Total Capital Expenses	\$	\$	\$
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*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.

	<b>MOST CURRENT (\$)</b>	<b>PRIOR YEAR CLOSE (\$)</b>
<b>ASSETS</b>	<b>31-Jan-15</b>	<b>30-Jun-14</b>
<b>Current Assets</b>		
Cash and Equivalents	\$ 370,861.00	\$ 321,541.00
Accounts Receivable	\$ 7,845.00	\$ 6,627.00
Prepaid Expenses	\$ 9,145.00	\$ 8,769.00
Inventory		
Grants/Pledges Receivable		
Other: Scholarships		
<b>Fixed assets (Net)</b>		
Property	\$ 292,597.00	\$ 330,194.00
Buildings	\$ 582,261.00	\$ 540,569.00
Equipment	\$ 20,557.00	\$ 16,777.00
<b>Investments</b>		
Endowments	\$ 1,344,613.00	\$ 1,394,803.00
Other:		
<b>TOTAL ASSETS</b>	\$ 2,627,879.00	\$ 2,619,280.00
<b>LIABILITIES</b>		
<b>Current Liabilities</b>		
Accounts Payable	\$ 757.00	\$ 10,596.00
Accrued Expenses	\$ 30,754.00	\$ 56,316.00
Long Term Debt (Current Portion)		
Short Term Debt		
Other: Deferred Revenue		
<b>Long Term Debt (over a year)</b>		
Loan		
Other:		
<b>TOTAL LIABILITIES</b>	\$ 31,511.00	\$ 66,912.00
<b>NET ASSETS</b>	\$ 2,596,368.00	
Unrestricted		\$ 1,714,079.00
Temporarily Restricted		\$ 125,521.00
Permanently Restricted		\$ 712,768.00
<b>TOTAL LIABILITIES</b>		
<b>AND NET ASSETS</b>	\$ 2,627,879.00	\$ 2,619,280.00

Internal Revenue Service

Department of the Treasury

P. O. Box 2508  
Cincinnati, OH 45201

Date: January 15, 2000

Person to Contact:  
Dalphine 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.