

A - State Aid

Article I Section A

Effective date 9/1/2010 - 8/31/2011

Latest Revision 01/14/2011

TEXT OF STANDARD

Subchapter: I. Grant Description

A. The State Aid grant provides funding to local juvenile boards to support the provision of basic juvenile probation services and juvenile justice programs to assist the juvenile board in adhering to the Commission's standards and policies.

COMMENTARY

Discussion and Interpretation:

Article I of this grant provides an overall description of the grant and its purpose and functions. This article is provided for informational and definitional purposes only and will not be monitored independently but in the context of the overall monitoring of other grant provisions, specifically including but not limited to the programmatic requirements.

Reviewer Guidelines:

N/A

Verification Documents:

N/A

METHODOLOGY

Compliance Methodology:

N/A

Monitoring Methodology: N/A

Sample: N/A

Point Value: 0

Total Points Possible: 0

Scoring Methodology: N/A

Level: Level 0 - Not Monitorable

REFERENCE MATERIAL

Recommended Best Practices:

N/A

Sample Form(s):

N/A

Citation(s):

Grant A - State Aid Article I Section A

Cross Reference(s):

N/A

Board Opinion:

RFI Opinion:

EFFECTIVE DATES

Grant's Effective Date: 9/1/2010 - 8/31/2011

CRM Last Modified On: 01/14/2011

PRE-MONITORING PREPARATION

Program Tour: False

Policy and Procedure: False

Pre-Monitoring Checklist: False

Pre-Monitoring Preparation Checklist:
N/A

Reviewer Preparation Checklist Required:
False

Reviewer Preparation Checklist:
N/A

INTERVIEW QUESTIONS MAY BE ADMINISTERED TO THE FOLLOWING:

Chief Administrative Officer: False

Professional Staff: False

Program/Facility Administrator: False

Juvenile Board Chair: False

Ancillary Staff: False

Juvenile: False

TEXT OF STANDARD

Subchapter: II. Grant Specifications

A. Formal Referral. A formal referral occurs when all three of the following conditions exist:

1. Delinquent conduct, conduct indicating a need for supervision or violation of probation was allegedly committed;
2. The juvenile probation department has jurisdiction and venue; and
3. Either face-to-face contact occurs with the office or official designated by the Grantee or written or verbal authorization to detain the juvenile is given by the office or official designated by the juvenile court.

B. Juvenile Justice Program. A program operated for the benefit of juveniles referred to the juvenile probation department that is wholly or partly operated by the juvenile board or by a private vendor under contract with the juvenile board. As defined in Texas Family Code Section 261.405, this term also includes juvenile justice alternative education programs (JJAEPs) and non-residential programs that serve juveniles that have been referred to the juvenile probation department and/or who are under the jurisdiction of the juvenile court. A juvenile justice program does not include any program operated in a facility that is licensed or operated by a state agency other than a facility registered with the Commission.

C. Juvenile Probation Services. Juvenile probation services means services provided to juvenile offenders under the jurisdiction of the juvenile court by or under the authority of the Grantee and provided by the juvenile probation department or other entity, including services contracted with third-party service providers, in response to a policy or directive instituted by the governing juvenile board or an order issued by a juvenile court and under the court's direction, including:

1. Protective services;
2. Prevention of delinquent conduct and conduct indicating a need for supervision;
3. Diversion;
4. Deferred prosecution;
5. Foster care;
6. Counseling;
7. Supervision;
8. Diagnostic, correctional and educational services; and

9. Services provided by a juvenile probation department that are related to the provision of services or operation of a pre-adjudication secure detention facility, a short-term secure detention facility (i.e., holdover), a post-adjudication secure correctional facility, a non-secure correctional facility, a residential child-care facility, a juvenile justice alternative education program or a juvenile justice program as defined in Texas Family Code Section 261.405.

D. Non-Residential Services. A service or program provided to a juvenile who has not been placed in a residential facility or a service or program provided to a juvenile who has been placed in a residential setting, but the service or program is not included in the cost per day for the juvenile's placement. The following services/programs are considered non-residential including:

1. Psychological, psychiatric and other professional diagnostic, evaluation and therapeutic treatment services;
2. Medical and dental diagnosis, evaluation, treatment and supplies;

3. Mental health diagnosis, treatment and supplies;

4. Vocational and educational fees and supplies;

5. Transportation and meals;

6. Clothing and personal hygiene supplies; and

7. Other non-residential services and programs.

E. Out-of-State Residential Placement Facility. Any residential child care or residential placement facility in a state outside of Texas, both public and private that is licensed, regulated or certified by a governmental entity in the state where the facility is located.

F. Residential Services. Residential services means the provision of services to a juvenile that has been placed in a pre-adjudication secure detention facility, a short-term secure detention facility (i.e., holdover), a post-adjudication secure correctional facility, a non-secure correctional facility, a residential child-care facility or an out-of-state residential placement facility.

G. Staff Services. Staff services means:

1. Salaries and fringe benefits for staff employed by the juvenile probation department under the direction of the Grantee;
2. Travel reimbursement for juvenile probation department staff for the provision of juvenile probation services, juvenile justice programs and administration; and
3. Operating expenses for the juvenile probation department (e.g., postage, telephone, office supplies, printing and other costs, etc.) directly related to juvenile probation services, juvenile justice programs and administration.

COMMENTARY

Discussion and Interpretation:

This article contains definitions of terms that are used throughout this grant. These definitions will not be monitored independently but will be monitored within the context of the grant requirements wherein the definition appears.

Formal Referral

Formal referrals include both formal and paper formalized referrals and occur when all of the three conditions specified in the definition of a formal referral are met. Contact shall occur between the juvenile and the juvenile

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probation office or official designed by the Grantee and include a discussion of the juvenile's alleged delinquent conduct, conduct indicating a need for supervision or violation of probation.

Primary Prevention Services

Primary prevention services are those programs, services and activities targeted to youth who are at risk of juvenile justice contact but who have not yet been formally referred to a juvenile probation department for a law or family code violation. These services are not provided as a result of a formal referral to a juvenile probation department and youth who receive these services are not under the jurisdiction of a juvenile probation department.

Reviewer Guidelines:

N/A

Verification Documents:

N/A

METHODOLOGY

Compliance Methodology:

N/A

Monitoring Methodology: N/A

Sample: N/A

Point Value: 0

Total Points Possible: 0

Scoring Methodology: N/A

Level: Level 0 - Not Monitorable

REFERENCE MATERIAL

Recommended Best Practices:

N/A

Sample Form(s):

N/A

Citation(s):

Grant A - State Aid Article II Sections A-G

Cross Reference(s):

N/A

Board Opinion:

RFI Opinion:

EFFECTIVE DATES

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PRE-MONITORING PREPARATION

Program Tour: False

Policy and Procedure: False

Pre-Monitoring Checklist: False

Pre-Monitoring Preparation Checklist:
N/A

Reviewer Preparation Checklist Required:
False

Reviewer Preparation Checklist:
N/A

INTERVIEW QUESTIONS MAY BE ADMINISTERED TO THE FOLLOWING:

Chief Administrative Officer: False

Professional Staff: False

Program/Facility Administrator: False

Juvenile Board Chair: False

Ancillary Staff: False

Juvenile: False

TEXT OF STANDARD**Subchapter:** III. Performance Measures

- A. **Goal.** The goal of the State Aid grant is to reduce delinquency, increase offender accountability and rehabilitate juvenile offenders through a comprehensive, coordinated community-based juvenile probation system.
- B. **Program Objective.** The objective of the State Aid grant is to provide basic juvenile probation services and juvenile justice programs and to ensure the delivery of safe and effective juvenile probation services and juvenile justice programs that maximize adherence to Commission standards and policies.
- C. **Program Performance.** Grantee performance under the grant shall be determined using the following measures:
1. Number of formal referrals;
 2. Percent change in the formal referrals (effective 9/1/2010);
 3. Average daily population of juveniles on probation and deferred prosecution; and
 4. Standards compliance with Title 37, Texas Administrative Code.

COMMENTARY**Discussion and Interpretation:**

The overall goal of this grant is to reduce delinquency, increase offender accountability and rehabilitate juvenile offenders through a comprehensive, coordinated, community-based juvenile probation system. This goal is the standard goal of all Commission grants and is not monitored independently. The program objective for this grant describes the purposes and main functions of this grant and shall be monitored based upon the individual program performance measures discussed below. Performance measures will not be monitored during on-site monitoring visits. Performance measures on all grants will be calculated by the Commission after the end of each fiscal year in the grant period.

Program Performance

Program performance will be assessed using the performance measures outlined in Article III Section C. The Commission will calculate these measures based on data submitted by the Grantee in the monthly extract data submitted in Caseworker or in the county's data system and from the Commission's COMETS database.

The performance measures will be calculated as described below:

1. Performance measure one (1) is the number of formal referrals during each year of the grant period.
2. Performance measure two (2) calculates the percent change in formal referrals during each year of the grant period. Total formal referrals from the year prior will be compared to total formal referrals during the current year of the grant period.
3. Performance measure three (3) calculates the average daily population of juveniles under deferred prosecution and probation supervision. Individual juveniles, not cases, will be used in this calculation.
4. Performance measure four (4) compiles the juvenile probation department's standards compliance monitoring score for Title 37, Texas Administrative Code Chapters 341, 343, 349 and 351 or successor provisions which may be amended or adopted during the term of this Contract.

Reviewer Guidelines:

To determine Grantee's compliance with this grant provision, the Reviewer will:

1. Review and analyze data submitted by the Grantee in the monthly extract data and from the COMETS database;
2. Calculate the following for each fiscal year of the grant period:
 - a. The number of formal referrals;
 - b. The percent change in formal referrals; and
 - c. The average daily population of juveniles under probation and deferred prosecution supervision.
3. Compile the department's standards compliance monitoring scores for Title 37, Texas Administrative Code Chapters 341, 343, 349 and 351 or successor provisions which may be amended or adopted during the term of this Contract.

Verification Documents:

1. Monthly extract data
2. COMETS database

METHODOLOGY**Compliance Methodology:**

Performance measures are calculated by the Commission using data provided by the Grantee and are reported at the end of each fiscal year in the grant period. Appropriate mathematical statistical analysis tools are utilized by the Commission in the calculation methodology for each grant.

Monitoring Methodology: N/A

Sample: N/A

Point Value: 0

Total Points Possible: 0

Scoring Methodology: N/A

Level: Level 0 - Not Monitorable

REFERENCE MATERIAL**Recommended Best Practices:**

N/A

Sample Form(s):

N/A

Citation(s):

Grant A - State Aid Article III Sections A-C

Cross Reference(s):

N/A

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Article III Section A-C

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Board Opinion:
RFI Opinion:

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PRE-MONITORING PREPARATION

Program Tour: False

Policy and Procedure: False

Pre-Monitoring Checklist: False

Pre-Monitoring Preparation Checklist:
N/A

Reviewer Preparation Checklist Required: False

Reviewer Preparation Checklist:
N/A

INTERVIEW QUESTIONS MAY BE ADMINISTERED TO THE FOLLOWING:

Chief Administrative Officer: False
Professional Staff: False
Program/Facility Administrator: False
Juvenile Board Chair: False
Ancillary Staff: False
Juvenile: False

TEXT OF STANDARD

Subchapter: IV. Programmatic Components

A. The Grantee shall establish a basic juvenile probation department infrastructure and operations in the Grantee's county or multi-county jurisdictions. This infrastructure shall consist of adequate staffing, programs, services, materials, and/or facilities necessary to provide community-based accountability, probation supervision and treatment services to juveniles referred to the juvenile probation department.

COMMENTARY

Discussion and Interpretation:

This provision details the program requirements for the State Aid grant. The Commission allocates funds to juvenile boards for the operation of juvenile probation services and juvenile justice programs for youth and their families. The Commission is the primary agency through which state funding for juvenile probation services and juvenile justice programs are allocated to the counties. Funding under this grant shall be utilized to provide basic juvenile probation services and juvenile justice programs and ensure the delivery of safe and effective juvenile justice programs and services.

Funding Formula Methodology

The State Aid Grant is allocated according to a two-tiered formula based on county juvenile-age population. Tier one of the State Aid formula allocates funding based on the county's juvenile-age population multiplied by \$12 per juvenile. No county receives less than \$5,200 or more than \$58,000. Tier Two distributes remaining funding based on each county's proportion of the state's total juvenile-age population.

The State Data Center is the Official State Demographer. TJPC is required to use the data from the data center to determine the juvenile population estimates.

Reviewer Guidelines:

To determine Grantee's compliance with this grant provision, the Reviewer will:

1. Prior to the monitoring visit, review the Grantee's approved Annual Budget Application to ensure the provision of juvenile probation services and juvenile justice programs;

The Reviewer may:

1. Interview the chief juvenile probation officer regarding the programs and services provided by the juvenile probation departments to serve juveniles.

Verification Documents:

1. Annual Budget Application

METHODOLOGY

Compliance Methodology:

This grant requirement shall be monitored using non-sampling techniques which may include the review and analysis of relevant written documentation, interviewing of selected personnel and personal visual observations of program operations made by the Reviewer. A program shall be in compliance with the grant if all required elements of the grant provision are met and are verifiable by the Reviewer during the monitoring visit.

Monitoring Methodology: Yes/No

Sample: N/A

Point Value: 10

Total Points Possible: 20

Scoring Methodology: 0 - 10

Level: Level 2 - Provision of Services

REFERENCE MATERIAL

Recommended Best Practices:

N/A

Sample Form(s):

N/A

Citation(s):

Grant A - State Aid Article IV Section A

Cross Reference(s):

Texas Human Resources Code, Chapters 141 and 142

Texas State Data Center Population Projections (www.txsdcenter.utsa.edu)

Board Opinion:

RFI Opinion:

EFFECTIVE DATES

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PRE-MONITORING PREPARATION

Program Tour: False

Policy and Procedure: False

Pre-Monitoring Checklist: False

Pre-Monitoring Preparation Checklist:

N/A

Reviewer Preparation Checklist Required:

True

Reviewer Preparation Checklist:

1. Prior to the monitoring visit, review the Grantee's approved Annual Budget Application to ensure the provision of juvenile probation services and juvenile justice programs. Place a copy of the budget in the Reviewer Workbook.

INTERVIEW QUESTIONS MAY BE ADMINISTERED TO THE FOLLOWING:

Chief Administrative Officer: True

Professional Staff: True

Program/Facility Administrator: False

Juvenile Board Chair: False

Ancillary Staff: False

Juvenile: False

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| TEXT OF STANDARD | METHODOLOGY |
|---|---|
| <p>Subchapter: V. Programmatic Reporting</p> <p>A. Annual Reports. See General Grant Requirements.</p> <p>B. Quarterly Reports. None.</p> <p>C. Monthly Reports. Grantee shall submit monthly extract data electronically to the Commission no later than the 10th calendar day of each month following the reporting period as required in Title 37, Texas Administrative Code, Sections 341.49 and 341.54 or successor provisions which become effective during the term of this Contract.</p> <p>D. Other Periodic Reports. See General Grant Requirements.</p> | <p>Compliance Methodology:</p> <p>N/A</p> <p>Monitoring Methodology: N/A Sample: N/A Point Value: 0 Total Points Possible: 0 Scoring Methodology: N/A Level: Level 0 - Not Monitorable</p> |
| COMMENTARY | REFERENCE MATERIAL |
| <p>Discussion and Interpretation:</p> <p>Compliance with this grant provision is not monitored during an on-site monitoring visit but is monitored throughout the term of the grant. This grant has various programmatic reporting requirements that are applicable at different times throughout the grant period. These are discussed below.</p> <p>Annual Reports</p> <p>This grant has no additional annual reporting requirements in addition to those required in the General Grant Requirements. Annual reports due under General Grant Requirements will be discussed and monitored under that grant.</p> <p>Quarterly Reports</p> <p>There are no quarterly reports for this grant.</p> <p>Monthly Reports</p> <p>The Grantee shall submit monthly extract data to the Commission pursuant to Title 37, Texas Administrative Code, Sections 341.49 and 341.54 in compliance with the Electronic Data Interchange (EDI) standards. Grantee shall submit monthly extract data electronically to the Commission no later than the 10th calendar day of each month following the reporting period.</p> <p>Compliance with this grant will be monitored by the Research and Statistics Division of the Commission. Monthly extract data shall be submitted on or before the 10th calendar day of each month following the reporting period. After the extract data due date, the Commission will generate the Monthly Folder Extract Availability Report to determine delinquency in reporting. If the Grantee submits the extract data after the 10th calendar day of the month the Grantee shall be considered non-compliant and shall receive a delinquency notice. Failure to submit the monthly extract data within the required timeframe after issuance of the delinquency notice shall result in the issuance of a Non-Compliance Citation Report (NCCR) by the Commission.</p> <p>Other Periodic Reports</p> <p>This grant has no periodic reporting requirements in addition to those required in the General Grant Requirements. Periodic reports due under General Grant Requirements will be discussed and monitored under that grant.</p> <p>Reviewer Guidelines:</p> <p>N/A</p> <p>Verification Documents:</p> <p>1. Monthly extract data</p> | <p>Recommended Best Practices:</p> <p>N/A</p> <p>Sample Form(s):</p> <p>N/A</p> <p>Citation(s):</p> <p>Grant A - State Aid Article V Sections A-D</p> <p>Cross Reference(s):</p> <p>37 TAC Section 341.49 - TJPC Monthly Folder Extract</p> <p>37 TAC Section 341.54 - TJPC Monthly Folder Extract</p> <p>Board Opinion:</p> <p>RFI Opinion:</p> |
| | EFFECTIVE DATES |
| | <p>Grant's Effective Date: 9/1/2010 - 8/31/2011 CRM Last Modified On: 01/14/2011</p> |
| | PRE-MONITORING PREPARATION |
| | <p>Program Tour: False</p> <p>Policy and Procedure: False</p> <p>Pre-Monitoring Checklist: False</p> <p>Pre-Monitoring Preparation Checklist: N/A</p> <p>Reviewer Preparation Checklist Required: False</p> <p>Reviewer Preparation Checklist: N/A</p> <p>INTERVIEW QUESTIONS MAY BE ADMINISTERED TO THE FOLLOWING:</p> <p>Chief Administrative Officer: False Professional Staff: False Program/Facility Administrator: False Juvenile Board Chair: False Ancillary Staff: False Juvenile: False</p> |

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Article VI Section A-D

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TEXT OF STANDARD

Subchapter: VI. Programmatic Monitoring

A. On-Site Monitoring Visits. See General Grant Requirements.

B. Unannounced On-Site Monitoring Visits. See General Grant Requirements.

C. Desk Audits. See General Grant Requirements.

D. Other. None.

COMMENTARY

Discussion and Interpretation:

Section VI of this grant addresses the types of monitoring that may be utilized by the Commission to determine compliance with the provisions of the grant and references the General Grant Requirements that provide a full description of the variety of monitoring methodologies. There are no specialized programmatic monitoring techniques (i.e., Other) applicable to this grant. This grant provision is for informational purposes only and will not be monitored.

Reviewer Guidelines:

N/A

Verification Documents:

N/A

METHODOLOGY

Compliance Methodology:

N/A

Monitoring Methodology: N/A

Sample: N/A

Point Value: 0

Total Points Possible: 0

Scoring Methodology: N/A

Level: Level 0 - Not Monitorable

REFERENCE MATERIAL

Recommended Best Practices:

N/A

Sample Form(s):

N/A

Citation(s):

Grant A - State Aid Article VI Sections A-D

Cross Reference(s):

N/A

Board Opinion:

RFI Opinion:

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PRE-MONITORING PREPARATION

Program Tour: False

Policy and Procedure: False

Pre-Monitoring Checklist: False

Pre-Monitoring Preparation Checklist:
 N/A

Reviewer Preparation Checklist Required:
 False

Reviewer Preparation Checklist:
 N/A

INTERVIEW QUESTIONS MAY BE ADMINISTERED TO THE FOLLOWING:

Chief Administrative Officer: False

Professional Staff: False

Program/Facility Administrator: False

Juvenile Board Chair: False

Ancillary Staff: False

Juvenile: False

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Article VII Section A-C

Effective date 9/1/2010 - 8/31/2011

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TEXT OF STANDARD

Subchapter: VII. Applicable Law, Policy and Procedure

APPLICABLE LAW, POLICY AND PROCEDURE. The Grantee shall comply with the following applicable state laws, federal laws, standards, policies and procedures as they currently exist or as amended or renumbered and enacted and effective during the term of this Contract:

- A. Applicable Standards.
 - 1. Texas Administrative Code (TAC) Title 37 Public Safety and Corrections, Chapters 341 – 358.
- B. General Statutes.
 - 1. Federal Law. See General Grant Requirements.
 - 2. State Law. See Also General Grant Requirements.
 - a. Texas Family Code, Title III, Juvenile Justice Code.
 - i. Chapter 60 – Uniform Interstate Compact for Juveniles.
 - b. Texas General Appropriations Act.
 - c. Texas Government Code, Title 7, Uniform Grant and Contract Management.
 - i. Chapter 783 - Uniform Grant and Contract Management Act.
- C. Policy and Procedure.
 - 1. Texas Juvenile Probation Compliance Resource Manual, Volumes 1 - 2.

COMMENTARY

Discussion and Interpretation:

This grant is governed by a variety of applicable state and federal laws, regulations and policies. This grant provision details the specific laws and policies that are applicable to the grant. This provision will not be monitored independently herein this grant but compliance with all monitored laws and regulations will be monitored in the General Grants Requirements and/or within the context of the specific grant provision wherein the requirement most logically fits.

Reviewer Guidelines:

N/A

Verification Documents:

N/A

METHODOLOGY

Compliance Methodology:

N/A

Monitoring Methodology: N/A

Sample: N/A

Point Value: 0

Total Points Possible: 0

Scoring Methodology: N/A

Level: Level 0 - Not Monitorable

REFERENCE MATERIAL

Recommended Best Practices:

N/A

Sample Form(s):

N/A

Citation(s):

Grant A - State Aid Article VII, Section A-C

Cross Reference(s):

N/A

Board Opinion:

RFI Opinion:

EFFECTIVE DATES

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PRE-MONITORING PREPARATION

Program Tour: False

Policy and Procedure: False

Pre-Monitoring Checklist: False

Pre-Monitoring Preparation Checklist:

N/A

Reviewer Preparation Checklist Required:

False

Reviewer Preparation Checklist:

N/A

INTERVIEW QUESTIONS MAY BE ADMINISTERED TO THE FOLLOWING:

Chief Administrative Officer: False

Professional Staff: False

Program/Facility Administrator: False

Juvenile Board Chair: False

Ancillary Staff: False

Juvenile: False

TEXT OF STANDARD

Subchapter: VIII. Financial Components

A. Allowable Expenditure of Funds.

1. Grant funds shall be expended solely for the provision of juvenile probation services and juvenile justice programs within the three budget categories of staff services, non-residential services and residential services in accordance with the approved Annual Budget Application submitted by the Grantee per fiscal year for the current grant period.

2. The Grantee may use grant funds to lease, contract for or reserve bed space with public and private residential facilities for the purpose of diverting juveniles from commitment to TYC.

B. Unallowable Expenditure of Funds. See General Grant Requirements.

COMMENTARY

Discussion and Interpretation:

This grant provision addresses the allowable and unallowable expenditure of funds received under this grant. Expenditures shall be made in accordance with Generally Accepted Accounting Principles (GAAP), the Commission's Expenditure Guidelines in General Grant Requirements - All TJPC Grants and shall be expended and classified as outlined by the budget categories in Article VIII, Sections A and B of this grant. The Expenditure Guidelines in General Grant Requirements - All TJPC Grants may be found on the Commission's website at www.tjpc.state.tx.us. If any expenditure fails to meet these requirements, the Grantee shall be in non-compliance with these grant provisions. Allowable expenditures under this grant fall into three (3) main categories as follows:

1. Staff Services

The staff services category may include, but is not limited to:

- a. Salaries and fringe benefits for staff employed by the juvenile probation department under the direction of the Grantee;
- b. Travel reimbursement for juvenile probation department staff for the provision of juvenile probation services, juvenile justice programs and administration; and
- c. Operating expenses for the juvenile probation department (e.g., postage, telephone, office supplies, printing and other costs, etc.) directly related to juvenile probation services, juvenile justice programs and administration.

2. Non-Residential Services

The Non-Residential Services category includes, but is not limited to:

- a. A service or program provided to a juvenile who has not been placed in a residential facility; and
- b. A service or program provided to a juvenile who has been placed in a residential setting, but the service or program is not included in the cost per day for the juvenile's placement.

3. Residential Services

Residential services category means the provision of services to a juvenile that has been placed in a secure pre-adjudication detention facility, a short-term detention facility (i.e., holdover), a post-adjudication correctional facility, or a non-secure residential placement facility operated by or under the authority of the Grantee. This category also includes services contracted with a third-party service provider in any non-secure placement facility licensed and/or operated by or under the authority of another governmental entity under the laws of this state or another state.

Financial Documentation

The Grantee shall maintain complete and accurate accounting records for all expenditure paid with funding from this grant. The accounting records shall include all supporting documentation substantiating an expenditure. All financial documentation shall be maintained according to GAAP. The types of documentation that support an expenditure includes, but are not limited to the following:

- 1. Requisitions or purchase orders;
- 2. Receipts;
- 3. Packing slips;
- 4. Invoices;
- 5. Timesheets;
- 6. Payroll;
- 7. Mileage reports;
- 8. Cancelled checks; and
- 9. Bank statements.

The exact type of documentation that will be reviewed is based on the type of expenditure that is identified. To determine whether the expenditure is allowable or unallowable is based on expenditure guidelines in General Grant Requirements -All TJPC Grants found on the Commission's website at www.tjpc.state.tx.us.

Expenditure Detail Report

To determine compliance with this grant provision, the Commission shall request a detailed system generated expenditure report. This report shall list all of the grant specific transactions and may be listed alphabetically, chronologically or by fund/account. Each transaction (i.e., expenditure) shall be properly recorded in the Grantee's general ledger from which the expenditure detail report is generated. The system generated expenditure report can normally be obtained from the Grantee's Fiscal Officer.

To determine compliance with all salaries and fringe benefits paid out of this grant, the Grantee shall provide a system generated report showing all salaries and fringe paid out of this grant. The report shall display salaries and fringe benefits by date, employee, amount, and grant. The system generated report shall include all funding sources.

The following are examples of sample expenditures and the analyses of allowability conducted by the Reviewer.

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Example 1:

The Grantee purchased a fax machine for the juvenile probation department at a cost of \$300.00. The county does not classify the item or amount as equipment and the cost is recorded in the Staff Services category under Operating Expenses in the State Aid Grant. The purchase was made on September 2, 2009. The check cleared the bank on September 6, 2009 and was recorded in the General Ledger as paid.

The expenditure is allowable for FY2010.

Example 2:

The Grantee purchased a computer for the juvenile probation department at a cost of \$4,500.00. The county does not classify the item or amount as equipment and the cost is recorded in the Staff Service category under Operating Expenses in the State Aid Grant. The purchase was made on August 31, 2009. The check cleared the bank on September 6, 2009 and was recorded in the General Ledger as paid.

The expenditure is disallowed for FY 2010 because it was purchased prior to the grant period (beginning September 1, 2009), even though it may be a reasonable expenditure.

In the above examples, additional factors affecting allowability could be:

A. What is the county's purchasing policy for purchasing capital equipment?

Reviewer Guidelines:

To determine compliance with this grant provision, the Reviewer will:

1. Prior to the monitoring visit, request a system generated expenditure detail report for this grant for the grant period;
2. Select a systematic sample of transactions from the expenditure detail report for review. The Reviewer will request that the Grantee provide payment vouchers with applicable supporting documentation attached for each selected transaction in the sample;
3. Analyze the expenditure documentation for allowability. The Reviewer will verify that each expenditure is in compliance with the requirements in Article VIII Sections A and B of this grant;
4. Analyze the expenditure to assure the payment is a reasonable and necessary expenditure under this grant;
5. Verify whether the payment is correctly coded to the grant being reviewed;
6. Identify whether the date the expenditure occurred or was encumbered during the grant period; and
7. Verify that the payment cleared the bank by reviewing substantiating documentation (e.g., cancelled checks, bank statements, etc.) and that the amount matched the approved document total.

The Reviewer may:

1. Interview appropriate personnel regarding the reviewed documentation.

Verification Documents:

1. System generated general ledger (Excel Spreadsheets are not appropriate)
2. Chart of accounts
3. System generated expenditure detail report (Excel Spreadsheets are not appropriate)
4. Payment voucher

5. Supporting documentation:

- a. Requisition/purchase order;
 - b. Invoice/billing instrument;
 - c. Receipts and/or packing slip;
 - d. Mileage log;
 - e. Timesheets and payroll documentation; and
 - f. Other acceptable documentation
6. External documentation:
 - a. Bank statements, cancelled checks, EFT transaction; and
 - b. Other acceptable documentation

METHODOLOGY**Compliance Methodology:**

The grants TJPC audits are predetermined. Expenditure reports for this grant are utilized to determine if expenditures are allowable. The following are the steps for determining the number of records that will be reviewed:

1. The department's juvenile population size determines the total number of transactions reviewed;
2. The number of transactions audited for this grant is determined by this grant's proportionate percentage of the department's total state funding; and
3. A random sampling technique is used to select the transactions that will be reviewed. TJPC uses a randomizer number table to draw a simple random sample by making a complete list of all the transactions, assigning each a number and then electronically drawing a set of random numbers which identifies the nth transaction to be sampled.

The Reviewer may discretionarily select expenditures outside the random sample.

Monitoring Methodology: Sample %

Sample: N/A

Point Value: 10

Total Points Possible: 30

Scoring Methodology: 0 - 10

Level: Level 3 - Critical

REFERENCE MATERIAL**Recommended Best Practices:**

The Grantee should maintain complete financial policies and procedures in accordance with GAAP for all state, local and

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federal funds. The Grantee's policies and procedures should follow those of the designated lead county if in a multi-county jurisdiction and the guidelines should address but not be limited to the areas listed below.

Accounting System

1. The accounting system users are identifiable and limited in order to safeguard against loss; and
2. Separation of duties related to the receipt, expenditure, adjustment, and transfer of funds.

Accounts Receivable

Procedures to ensure accurate accounting for revenues/funds when received should include, but are not limited to:

1. Reviewing the grant guidelines prior to receipt of funds;
2. Monitoring the budget and predetermined expenditure plan; and
3. Ensuring account coding is correctly applied to revenues/funds throughout the grant period.

Accounts Payable

Procedures to ensure accurate accounting for expenditures when requested or paid should include, but are not limited to:

1. Expenditure authorization is received prior to any purchase order request and payment;
2. Transactions are documented and/or executed by personnel with different job duties;
3. Transactions are reconciled by someone who did not perform them; and
4. A verification practice is in place to prevent double payment.

Sample Form(s):

1. Annual Budget Application
2. Expenditure Guidelines in General Grant Requirements - All TJPC Grants
3. System generated expenditure detail report

Citation(s):

Grant A - State Aid Article VIII, Sections A-B

Cross Reference(s):

N/A

Board Opinion:

RFI Opinion:

EFFECTIVE DATES

Grant's Effective Date: 9/1/2010 - 8/31/2011

CRM Last Modified On: 01/14/2011

PRE-MONITORING PREPARATION

Program Tour: False

Policy and Procedure: False

Pre-Monitoring Checklist: True

Pre-Monitoring Preparation Checklist:

1. Please provide a system generated expenditure detail report for this grant for the grant period reviewed. This system generated expenditure report along with all the corresponding payment vouchers and applicable supporting documentation for the selected period shall be provided to the Reviewer on the day of the monitoring visit.

Reviewer Preparation Checklist Required:

True

Reviewer Preparation Checklist:

1. Prior to the monitoring visit, request from the Grantee a system generated expenditure detail report for this grant for the grant period reviewed. The system generated expenditure report along with all the corresponding payment vouchers and applicable supporting documentation for the selected period shall be provided to the Reviewer on the day of the monitoring visit.

INTERVIEW QUESTIONS MAY BE ADMINISTERED TO THE FOLLOWING:

Chief Administrative Officer: True
Professional Staff: True
Program/Facility Administrator: False
Juvenile Board Chair: False
Ancillary Staff: False
Juvenile: False

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Article VIII Section C

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TEXT OF STANDARD

Subchapter: VIII. Financial Components
 C. Financial Match Requirements. See General Grant Requirements.

COMMENTARY

Discussion and Interpretation:
 There is no required financial match for this grant.

Reviewer Guidelines:

N/A

Verification Documents:

N/A

METHODOLOGY

Compliance Methodology:

N/A

Monitoring Methodology: N/A

Sample: N/A

Point Value: 0

Total Points Possible: 0

Scoring Methodology: N/A

Level: Level 0 - Not Monitorable

REFERENCE MATERIAL

Recommended Best Practices:

N/A

Sample Form(s):

N/A

Citation(s):

Grant A - State Aid Article VIII Section C

Cross Reference(s):

General Grant Requirements - All TJPC Grants Article VIII Section C

Board Opinion:

RFI Opinion:

EFFECTIVE DATES

Grant's Effective Date: 9/1/2010 - 8/31/2011

CRM Last Modified On: 01/14/2011

PRE-MONITORING PREPARATION

Program Tour: False

Policy and Procedure: False

Pre-Monitoring Checklist: False

Pre-Monitoring Preparation Checklist:
 N/A

Reviewer Preparation Checklist Required:
 False

Reviewer Preparation Checklist:
 N/A

INTERVIEW QUESTIONS MAY BE ADMINISTERED TO THE FOLLOWING:

Chief Administrative Officer: False
Professional Staff: False
Program/Facility Administrator: False
Juvenile Board Chair: False
Ancillary Staff: False
Juvenile: False

A - State Aid**Article VIII Section D**

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TEXT OF STANDARD**Subchapter:** VIII. Financial Components

D. Funding Adjustments.

1. Reduction of Grant Payments. See General Grant Requirements.
2. Unexpended Balances. See General Grant Requirements.
3. Overpayments. See General Grant Requirements.
4. Refunds Due. See General Grant Requirements.

COMMENTARY**Discussion and Interpretation:**

Compliance with funding adjustment requirements for this grant will be monitored and provisions discussed in detail under the General Grant Requirements.

Reviewer Guidelines:

N/A

Verification Documents:

N/A

METHODOLOGY**Compliance Methodology:**

N/A

Monitoring Methodology: N/A**Sample:** N/A**Point Value:** 0**Total Points Possible:** 0**Scoring Methodology:** N/A**Level:** Level 0 - Not Monitorable**REFERENCE MATERIAL****Recommended Best Practices:**

N/A

Sample Form(s):

N/A

Citation(s):

Grant A - State Aid Article VIII, Section D

Cross Reference(s):

N/A

Board Opinion:

RFI Opinion:

EFFECTIVE DATES**Grant's Effective Date:** 9/1/2010 - 8/31/2011**CRM Last Modified On:** 01/14/2011**PRE-MONITORING PREPARATION****Program Tour:** False**Policy and Procedure:** False**Pre-Monitoring Checklist:** False**Pre-Monitoring Preparation Checklist:**
N/A**Reviewer Preparation Checklist Required:**
False**Reviewer Preparation Checklist:**
N/A**INTERVIEW QUESTIONS MAY BE ADMINISTERED TO THE FOLLOWING:****Chief Administrative Officer:** False**Professional Staff:** False**Program/Facility Administrator:** False**Juvenile Board Chair:** False**Ancillary Staff:** False**Juvenile:** False

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Article VIII Section E

Effective date 9/1/2010 - 8/31/2011

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TEXT OF STANDARD

Subchapter: VIII. Financial Components

E. Timely Expenditure of Grant Funds. See General Grant Requirements.

COMMENTARY

Discussion and Interpretation:

This grant provision is not monitored on site. During the review of the quarterly expenditure reports, the Commission will determine whether grant funds are expended in a timely manner. If it is determined by the Commission that the Grantee failed to expend the grant funds in a timely manner, a Non-Compliance Citation Report (NCCR) may be issued by the Commission.

Reviewer Guidelines:

N/A

Verification Documents:

N/A

METHODOLOGY

Compliance Methodology:

N/A

Monitoring Methodology: N/A

Sample: N/A

Point Value: 0

Total Points Possible: 0

Scoring Methodology: N/A

Level: Level 0 - Not Monitorable

REFERENCE MATERIAL

Recommended Best Practices:

N/A

Sample Form(s):

N/A

Citation(s):

Grant A - State Aid Article VIII, Section E

Cross Reference(s):

N/A

Board Opinion:

RFI Opinion:

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Grant's Effective Date: 9/1/2010 - 8/31/2011

CRM Last Modified On: 01/14/2011

PRE-MONITORING PREPARATION

Program Tour: False

Policy and Procedure: False

Pre-Monitoring Checklist: False

Pre-Monitoring Preparation Checklist:
N/A

Reviewer Preparation Checklist Required:
False

Reviewer Preparation Checklist:
N/A

INTERVIEW QUESTIONS MAY BE ADMINISTERED TO THE FOLLOWING:

Chief Administrative Officer: False
Professional Staff: False
Program/Facility Administrator: False
Juvenile Board Chair: False
Ancillary Staff: False
Juvenile: False

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Article VIII Section F

Effective date 9/1/2010 - 8/31/2011

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TEXT OF STANDARD

Subchapter: VIII. Financial Components
 F. Audits. See General Grant Requirements.

COMMENTARY

Discussion and Interpretation:
 Compliance with the audit provisions of this grant will be monitored under the General Grant Requirements audit provisions and discussed in detail in that section.

Reviewer Guidelines:

N/A

Verification Documents:

N/A

METHODOLOGY

Compliance Methodology:

N/A

Monitoring Methodology: N/A

Sample: N/A

Point Value: 0

Total Points Possible: 0

Scoring Methodology: N/A

Level: Level 0 - Not Monitorable

REFERENCE MATERIAL

Recommended Best Practices:

N/A

Sample Form(s):

N/A

Citation(s):

Grant A - State Aid Article VIII, Section F

Cross Reference(s):

N/A

Board Opinion:

RFI Opinion:

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Grant's Effective Date: 9/1/2010 - 8/31/2011

CRM Last Modified On: 01/14/2011

PRE-MONITORING PREPARATION

Program Tour: False

Policy and Procedure: False

Pre-Monitoring Checklist: False

Pre-Monitoring Preparation Checklist:
N/A

Reviewer Preparation Checklist Required:
False

Reviewer Preparation Checklist:
N/A

INTERVIEW QUESTIONS MAY BE ADMINISTERED TO THE FOLLOWING:

Chief Administrative Officer: False
Professional Staff: False
Program/Facility Administrator: False
Juvenile Board Chair: False
Ancillary Staff: False
Juvenile: False

A - State Aid**Article VIII Section G**

Effective date 9/1/2010 - 8/31/2011

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TEXT OF STANDARD**Subchapter:** VIII. Financial Components

G. Financial Assurances. See General Grant Requirements.

COMMENTARY**Discussion and Interpretation:**

This grant has no special financial assurances in addition to the financial assurances contained in the General Grant Requirements and compliance with the assurances will be tested via the independent audit. The general financial assurances are discussed in the General Grant Requirements.

Reviewer Guidelines:

N/A

Verification Documents:

N/A

METHODOLOGY**Compliance Methodology:**

N/A

Monitoring Methodology: N/A**Sample:** N/A**Point Value:** 0**Total Points Possible:** 0**Scoring Methodology:** N/A**Level:** Level 0 - Not Monitorable**REFERENCE MATERIAL****Recommended Best Practices:**

N/A

Sample Form(s):

N/A

Citation(s):

Grant A - State Aid Article VIII, Section G

Cross Reference(s):

N/A

Board Opinion:**RFI Opinion:****EFFECTIVE DATES****Grant's Effective Date:** 9/1/2010 - 8/31/2011**CRM Last Modified On:** 01/14/2011**PRE-MONITORING PREPARATION****Program Tour:** False**Policy and Procedure:** False**Pre-Monitoring Checklist:** False**Pre-Monitoring Preparation Checklist:**

N/A

Reviewer Preparation Checklist Required:

False

Reviewer Preparation Checklist:

N/A

INTERVIEW QUESTIONS MAY BE ADMINISTERED TO THE FOLLOWING:**Chief Administrative Officer:** False**Professional Staff:** False**Program/Facility Administrator:** False**Juvenile Board Chair:** False**Ancillary Staff:** False**Juvenile:** False

A - State Aid**Article VIII Section H**

Effective date 9/1/2010 - 8/31/2011

Latest Revision 01/14/2011

TEXT OF STANDARD**Subchapter:** VIII. Financial Components

H. Service Provider. See General Grant Requirements.

COMMENTARY**Discussion and Interpretation:**

Compliance with the service provider requirements will be monitored under the General Grant Requirements. The service provider requirements are discussed in the General Grant Requirements.

Reviewer Guidelines:

N/A

Verification Documents:

N/A

METHODOLOGY**Compliance Methodology:**

N/A

Monitoring Methodology: N/A**Sample:** N/A**Point Value:** 0**Total Points Possible:** 0**Scoring Methodology:** N/A**Level:** Level 0 - Not Monitorable**REFERENCE MATERIAL****Recommended Best Practices:**

N/A

Sample Form(s):

N/A

Citation(s):

Grant A - State Aid Article VIII, Section H

Cross Reference(s):

General Grant Requirements - All TJPC Grants Article VIII Section H

Board Opinion:

RFI Opinion:

EFFECTIVE DATES**Grant's Effective Date:** 9/1/2010 - 8/31/2011**CRM Last Modified On:** 01/14/2011**PRE-MONITORING PREPARATION****Program Tour:** False**Policy and Procedure:** False**Pre-Monitoring Checklist:** False**Pre-Monitoring Preparation Checklist:**
N/A**Reviewer Preparation Checklist Required:**
False**Reviewer Preparation Checklist:**
N/A**INTERVIEW QUESTIONS MAY BE ADMINISTERED TO THE FOLLOWING:****Chief Administrative Officer:** False**Professional Staff:** False**Program/Facility Administrator:** False**Juvenile Board Chair:** False**Ancillary Staff:** False**Juvenile:** False

TEXT OF STANDARD**Subchapter:** IX. Financial Reporting

A. Annual Reports. The Grantee shall submit a completed Annual Budget Application concurrent with the submission of the executed State Financial Assistance Contract for the Commission's approval. The Annual Budget Application is found on the Commission's website and shall be submitted electronically as specified by the Commission each fiscal year for the current grant period.

COMMENTARY**Discussion and Interpretation:**

For fiscal year 2010, this grant requires an annual report which is the Annual Budget Application to be submitted each fiscal year. This document is a Microsoft Excel spreadsheet that shall be completed detailing the budget for the grant. The Annual Budget Application also includes the Designation of Key Personnel Spreadsheet that is in the Excel format that shall be completed and submitted one time for all grants. The Annual Budget Application shall be submitted concurrently with the submission of the executed State Financial Assistance Contract. The completed spreadsheet document shall be submitted electronically via email to Judy Ybarbo, the Commission's Contract Administrator at judy.ybarbo@tjpc.state.tx.us.

The executed State Financial Assistance Contract shall be mailed to the Commission and the signature page and juvenile board resolution shall have original signatures. The contract signature page shall include the original signatures of the juvenile board chairperson, chief juvenile probation officer and fiscal officer. The juvenile board resolution shall include the names of all board members in attendance during the juvenile board meeting wherein the contract was approved for execution.

The Grantee's juvenile board shall comply with the Texas Open Meetings Act as codified in Texas Government Code Chapter 551 when approving and executing the State Financial Assistance Contract and all required documents. This Act states that meetings of governmental bodies must be open to the public, except for expressly authorized executive sessions, and that the public must be given notice of the time, place, and subject matter of meetings of governmental bodies. To be legally binding and enforceable, any action of a juvenile board must occur in a posted, open meeting that complies with the requirements of the Open Meetings Act. A quorum of the juvenile board is required to be present before the board may act. Documentation of the action must be reflected in the meeting minutes, formal written resolutions, or other written documentation. The juvenile board may act to authorize the chairperson of the board to take certain actions on behalf of the board as long as the initial action meets the requirements of the Open Meetings Act, is subsequently ratified by the juvenile board and is so documented.

The Grantee shall submit the executed contract and all required documents and files such as the Annual Budget Application before any distributions are made under the State Financial Assistance Contract. Upon approval and execution of the State Financial Assistance Contract by the Commission, a copy will be mailed to the juvenile probation department.

The Annual Budget Application and the Designation of Key Personnel Spreadsheet, may be downloaded from the Commission's website at www.tjpc.state.tx.us.

For fiscal year 2011, the Grantee shall enter the Annual Budget Application on Grant Manager, the Commission's web-based system. Grant Manager requires a user name and password provided by the Commission's MIS division to gain entry to the system. The Grantee shall enter the budget for each grant separately by category. Once all grant budgets have been entered and Grant Manager declares the budget complete, the Grantee shall submit to the Commission by clicking SUBMIT.

Upon approval of the Grantee's budget on Grant Manager, the Grantee will receive an email affirming finalization. Payment to the Grantee will then fall into the regular disbursement cycle.

Username and password for Grant Manger may be acquired by contacting the Commission's MIS unit at 512-424-6700.

Reviewer Guidelines:

To determine Grantee's compliance with this grant provision, the Reviewer will:

1. Upon receipt of the State Financial Assistance Contract, verify the presence of the required original signatures on the signature page of the State Financial Assistance Contract and the accompanying juvenile board resolution evidencing authority to contract;
2. Verify all required key personnel have been identified in the Designation of Key Personnel Spreadsheet;
3. Compare and verify grant totals identified in the State Financial Assistance Contract to the budget summary worksheets for consistency;
4. Compare all budget worksheets to verify consistency on intended use of funds;
5. Review all budget worksheets to determine allowable costs, unallowable costs and verify all calculations for accuracy. The Reviewer will:
 - a. Examine the supporting documentation under the budget category "Other" within the Non-Residential Services category to verify that there is an adequate description of the program and services to be paid for with grant funds; and
6. Conduct an analysis of the unexpended funds for this grant for the past two fiscal years to determine whether greater than 10% of the grant funds were unexpended in each of the past two fiscal years. If so, determine whether a funds reduction may apply.

Verification Documents:

1. Annual Budget Application
2. Designation of Key Personnel Spreadsheet
3. Juvenile Board Resolution
4. State Financial Assistance Contract
5. Quarterly Expenditure Report

METHODOLOGY**Compliance Methodology:**

N/A

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Monitoring Methodology: N/A
Sample: N/A
Point Value: 0
Total Points Possible: 0
Scoring Methodology: N/A
Level: Level 0 - Not Monitorable

REFERENCE MATERIAL**Recommended Best Practices:**

N/A

Sample Form(s):

N/A

Citation(s):

Grant A - State Aid Article IX Section A

Cross Reference(s):

Texas Open Meetings Act - Chapter 551 Texas Government Code

Board Opinion:

RFI Opinion:

EFFECTIVE DATES**Grant's Effective Date:** 9/1/2010 - 8/31/2011**CRM Last Modified On:** 01/14/2011**PRE-MONITORING PREPARATION****Program Tour:** False**Policy and Procedure:** False**Pre-Monitoring Checklist:** False**Pre-Monitoring Preparation Checklist:**

N/A

Reviewer Preparation Checklist Required: False**Reviewer Preparation Checklist:**

N/A

INTERVIEW QUESTIONS MAY BE ADMINISTERED TO THE FOLLOWING:**Chief Administrative Officer:** False**Professional Staff:** False**Program/Facility Administrator:** False**Juvenile Board Chair:** False**Ancillary Staff:** False**Juvenile:** False

A - State Aid

Article IX Section B

Effective date 9/1/2010 - 8/31/2011

Latest Revision 01/14/2011

TEXT OF STANDARD

Subchapter: IX. Financial Reporting

B. Quarterly Reports. The Grantee shall report the expenditure of all funds received through this grant on the Quarterly Expenditure Report and the Quarterly ISP and Residential Cost Report [TJPC-FIS-49-04]. Reports shall be received by the Commission no later than January 1, April 1, July 1 and October 1 of the current fiscal year of the biennium, respectively. Funds may be temporarily suspended if a Quarterly Expenditure Report and/or a Quarterly ISP and Residential Cost Report is not received by the due date.

COMMENTARY

Discussion and Interpretation:

This grant provision requires the submission of quarterly reports. Quarterly expenditure reports are generated for this grant by the Commission. These reports are mailed to the designated Fiscal Officer thirty (30) calendar days before the due date. The first quarter (September – November) reports are mailed out December 1st and due January 1st. Second quarter reports (December – February) are mailed out March 1st and due April 1st. Third quarter reports (March – May) are mailed out June 1st and due July 1st. Fourth quarter reports (June – August) are mailed out September 1st and due October 1st.

In addition to documenting expenditures, the review of the quarterly expenditure report determines whether expenditures are allowable or unallowable and ensures timely utilization of funds to prevent excess unexpended funds at the end of the fiscal year. The reports can identify areas of concern during the fiscal year such as unfilled positions and funds not being utilized for juvenile programs and services.

Report Data

The Commission will pre-print the following data on each report. The due date is printed in the upper right hand corner of the report in the MM/DD/YYYY format. The numbered data elements on the report are discussed below:

1. Jurisdiction. The county name or lead county for a judicial district or multi-county jurisdiction;
2. Agreement #. The name of the grant, the grant identification letter and the county number;
3. Contract Period. The State Financial Assistance Contract period (includes a begin and end date in the MM/DD/YYYY format);
4. Reporting Period. The quarter that is currently being reported (includes a begin and end date in the MM/DD/YYYY format);
5. Report Type. The Grantee shall indicate if the report is a "regular-quarterly" or "final" (Grantee will circle one on the expenditure report). If the balance of the report is zero, circle "final";
- 6-10. The Service Categories which are the same as budget categories as identified in the annual budget application worksheets and include Salaries & Fringe Benefits, Travel, Operating Expenses, Non-Residential Services and Residential Services;

Column A/Budget. The approved allocation of funding for this specific grant by budget categories; and

Column B/Previous Expenditures. These items represent a cumulative total of expenditures reported previously. If an error has been made or the amount is not accurate, then any correction should be made in the appropriate service category. (Items #6 – 10).

Information To Be Completed By Fiscal Officer or Authorized Designee.

Column C. These items represent expenditures during the quarter that is currently being reported. To correct any errors, use brackets to report negative amounts (i.e., < >).

Column D. These items represent the budgeted amounts minus previous expenditures minus current expenditures that are being reported for each service category. Do not show a negative amount in the total balance. If the balance is zero and the expenditure report is not reporting 4th quarter expenditures, the Commission's financial system will not generate additional reports for the next quarter.

11. Total of each column.

12. Signature. The report shall be signed by the Fiscal Officer and Chief Juvenile Probation Officer/Project Director.

Fourth Quarter Expenditure Reports

Fourth quarter expenditure reports shall be prepared on the modified accrual basis of accounting. All obligations incurred, but not paid as of August 31st of each fiscal year of the grant period, shall be accrued and reported on the fourth quarter expenditure report. If there is a remaining balance identified on the 4th quarter expenditure report, a refund check is due from the Grantee to the Commission no later than November 1st of the next fiscal year. Expenditures identified on the first, second and third quarterly expenditure report shall be on a cash basis.

This grant provision is not monitored during an on-site monitoring visit but is monitored throughout the term of the grant. If the Grantee fails to comply with the grant provision, the Commission may issue a Non-Compliance Citation Report (NCCR).

The Quarterly ISP and Residential Cost Report

The Quarterly ISP and Residential Cost Report is designed to gather state and local expenditures for Intensive Supervision Probation (ISP) and all Residential Placements. The Quarterly ISP and Residential Cost Report may be found on the Commissions website at www.tjpc.state.tx.us.

Expenditures for ISP include all expenditures made during the quarter for the provision of ISP services regardless of the funding source. Residential placements include secure post adjudication correctional facilities and non-secure residential placement facilities. Expenditures for pre-adjudication detention facility or short-term detention facility (i.e., holdover) placements should not be included. Placements made in a facility operated by the county or on behalf of the county though a

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contract with a private vendor shall be considered County Operated Placements. Costs to operate the facility shall be included. Placements contracted by the Grantee shall be considered Purchased Placements.

Expenditures shall be categorized TJPC expenditures and Non-TJPC expenditures. TJPC expenditures include all funds received through the Commission including IV-E funds. Non- TJPC expenditures include all local, other federal or other funds expended by the Grantee for ISP and residential placements.

The report shall be signed by the person completing the report and by the Chief Juvenile Probation Officer.

Fourth Quarter ISP and Residential Cost Reports

Expenditures identified on the first, second and third quarterly expenditure report shall be on a cash basis. The report due for the fourth quarter shall include all obligations incurred, but not paid as of August 31st of each fiscal year of the grant period.

This grant provision is not monitored during an on-site monitoring visit but is monitored throughout the term of the grant. If the Grantee fails to comply with the grant provision, the Commission shall issue a Non-Compliance Citation Report (NCCR).

Reviewer Guidelines:

To determine Grantee's compliance with this grant provision, the Reviewer shall:

For the Quarterly Expenditure Report:

1. Verify the quarterly expenditure report was submitted by the Grantee, on or before the due date;
2. Verify the report has the required signatures;
3. Verify the report is for the correct time period;
4. Review the balances for negative amounts;
5. Compare the budgeted amounts and previous expenditures on the expenditure report to amounts in the Commission's financial system to verify consistency;
6. Analyze whether the funds have been expended in a timely manner; and
7. Determine whether the expenditure is allowable under the grant provisions.

For the Quarterly ISP and Residential Cost Report:

1. Verify the ISP and Residential Cost Report was submitted by the Grantee on or before the due date;
2. Verify the report has the required signatures;
3. Verify the report is for the correct time period;
4. Review the balances for negative amounts; and
5. Compare the expended amounts to the total juvenile ISP and residential bed days in order to verify accuracy and consistency

Verification Documents:

1. Quarterly Expenditure Report
2. Annual Budget Application
3. Quarterly ISP and Residential Cost Report
4. Monthly data extract

METHODOLOGY

Compliance Methodology:

N/A

Monitoring Methodology: N/A

Sample: N/A

Point Value: 0

Total Points Possible: 0

Scoring Methodology: N/A

Level: Level 0 - Not Monitorable

REFERENCE MATERIAL

Recommended Best Practices:

N/A

Sample Form(s):

N/A

Citation(s):

Grant A - State Aid Article IX Section B

Cross Reference(s):

N/A

Board Opinion:

RFI Opinion:

EFFECTIVE DATES

Grant's Effective Date: 9/1/2010 - 8/31/2011

CRM Last Modified On: 01/14/2011

PRE-MONITORING PREPARATION

Program Tour: False

Policy and Procedure: False

Pre-Monitoring Checklist: False

Pre-Monitoring Preparation Checklist:

N/A

Reviewer Preparation Checklist Required:

False

Reviewer Preparation Checklist:

N/A

INTERVIEW QUESTIONS MAY BE ADMINISTERED TO THE FOLLOWING:

Chief Administrative Officer: False

Professional Staff: False

Program/Facility Administrator: False

Juvenile Board Chair: False

Ancillary Staff: False

Juvenile: False

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TEXT OF STANDARD

Subchapter: IX. Financial Reporting

C. Monthly Reports. None.

COMMENTARY

Discussion and Interpretation:

This grant has no required monthly financial reports.

Reviewer Guidelines:

N/A

Verification Documents:

N/A

METHODOLOGY

Compliance Methodology:

N/A

Monitoring Methodology: N/A

Sample: N/A

Point Value: 0

Total Points Possible: 0

Scoring Methodology: N/A

Level: Level 0 - Not Monitorable

REFERENCE MATERIAL

Recommended Best Practices:

N/A

Sample Form(s):

N/A

Citation(s):

Grant A - State Aid Article IX Section C

Cross Reference(s):

N/A

Board Opinion:

RFI Opinion:

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Grant's Effective Date: 9/1/2010 - 8/31/2011

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PRE-MONITORING PREPARATION

Program Tour: False

Policy and Procedure: False

Pre-Monitoring Checklist: False

Pre-Monitoring Preparation Checklist:
N/A

Reviewer Preparation Checklist Required:
False

Reviewer Preparation Checklist:
N/A

INTERVIEW QUESTIONS MAY BE ADMINISTERED TO THE FOLLOWING:

Chief Administrative Officer: False
Professional Staff: False
Program/Facility Administrator: False
Juvenile Board Chair: False
Ancillary Staff: False
Juvenile: False

TEXT OF STANDARD

Subchapter: IX. Financial Reporting

D. Other Periodic Reports.

1. Budget Adjustments. The Grantee shall submit the Budget Adjustment Request [TJPC-FIS-03-04] to the Commission for any adjustment to the original budget. The Grantee shall receive written approval from the Commission prior to expending the funds.

COMMENTARY

Discussion and Interpretation:

This grant provision requires a budget adjustment for any adjustment to the original budget. The Budget Adjustment Request form is utilized as a mechanism to transfer funds from one budget category to another budget category within a specific grant. A budget adjustment request per each fiscal year of the designated grant period can be submitted through October 1st of the next fiscal year. All budget adjustments shall be pre-approved by the Commission. This form can be found on the Commission website at www.tjpc.state.tx.us.

The Budget Adjustment Request form shall be completed and mailed to Judy Ybarbo, Contract Administrator, with original signatures from the chief juvenile probation officer, fiscal officer or authorized designee. The following information shall be completed by the chief juvenile probation officer, fiscal officer or authorized designee:

1. Jurisdiction. The county name or lead county for a judicial district or multi-county jurisdiction;

2. Agreement/Contract #. This field requires the name of the grant, the grant identification letter, fiscal year and county number;

3. Date: This field requires the date of the completion of the Budget Adjustment Request;

4-9. Service Categories. Service Categories are the same as budget categories as identified in the annual budget application worksheets. The following columns are applicable:

- Column A - the approved allocation of funding for this specific grant by budget categories (include amended budget from previous budget adjustment requests);

- Column B – the adjusted amounts should be identified as a decrease in brackets < > and an increase with the plus sign + in front of the adjusted amount;

- Column C – the original budget amount minus <> or plus + the adjustment amount to equal the amended amount.

10. Detailed Explanation. In the detailed explanation field, address the basis for the request and refer to each specific service categories amount that will be amended. This is a generic form and not all expenditures are authorized under this grant. Review service categories definitions identified below:

- Salaries and fringe benefits - staff employed by the department under the direction of the Grantee;

- Travel for official business of authorized staff at the county rate or if in a multi-county jurisdiction, at the rate of the lead county. If the county has no established rate, then the county shall use the established State of Texas rate:

1. In no event can reimbursement rates exceed the established travel rates for the state of Texas;

- Operating expenses for the juvenile probation department (e.g., postage, telephone, office supplies, printing and other costs, etc.) directly related to juvenile probation programs, services or administration.;

- Non-Residential Services. A service or program provided to a juvenile who has not been placed in a residential facility or a service or program provided to a juvenile who has been placed in a residential setting, but the service or program is not included in the cost per day for the juvenile's placement. The following services/programs are considered non-residential including:

a. Psychological, psychiatric and other professional diagnostic, evaluation and therapeutic treatment services;

b. Medical and dental diagnosis, evaluation, treatment and supplies;

c. Vocational and educational fees and supplies;

d. Related programs, services, supplies and tutoring not provided by public schools;

e. Transportation and meals;

f. Clothing and personal hygiene supplies; and

g. Programs and services approved in writing in advance by the Commission including professional and contractual services.

- Residential services means the provision of services to a juvenile that has been placed in a secure pre-adjudication detention facility, a short-term detention facility (i.e., holdover), a post-adjudication correctional facility, or a non-secure residential placement facility operated by or under the authority of the Grantee. This category also includes services contracted to a third-party service provider in any non-secure placement facility licensed and/or operated by or under the authority of another governmental entity under the laws of this state or another state.

11. Authorized Signature – The budget adjustment request form should be signed by the chief juvenile probation officer/project director, the fiscal officer or authorized designee.

Approved Budget Adjustment Report

The Commission's financial system will automatically print an approved budget adjustment report. The approval form is signed by the Commission's Contract Administrator and the Chief Financial Officer or Deputy Chief Financial Officer. A copy of the report is mailed to the chief juvenile probation officer and fiscal officer.

A - State Aid

Article IX Section D

Effective date 9/1/2010 - 8/31/2011

Latest Revision 01/14/2011

This grant provision is not monitored during an on-site monitoring visit but is monitored throughout the term of the grant. If the Grantee fails to comply with the grant provision, the Commission may issue a Non-Compliance Citation Report (NCCR).

Reviewer Guidelines:

To determine Grantee's compliance with this grant provision, the Reviewer will:

1. Upon receipt of a budget adjustment request, examine the county's name, grant name, fiscal year and authorized signature for accuracy;
2. Determine whether the adjustment is allowable under the grant provisions;
3. Review the calculations for accuracy;
4. Compare the budgeted amounts to the Commission's financial system for consistency;
5. Enter the budget adjustment into the Commission's financial system wherein the system shall automatically calculate the amended budget; and
6. Compare the amended budget submitted on the Budget Adjustment Request form to the Commission's financial system.

Verification Documents:

1. Budget Adjustment Request form

METHODOLOGY

Compliance Methodology:

N/A

Monitoring Methodology: N/A

Sample: N/A

Point Value: 0

Total Points Possible: 0

Scoring Methodology: N/A

Level: Level 0 - Not Monitorable

REFERENCE MATERIAL

Recommended Best Practices:

N/A

Sample Form(s):

N/A

Citation(s):

Grant A - State Aid Article IX Section D

Cross Reference(s):

N/A

Board Opinion:

RFI Opinion:

EFFECTIVE DATES

Grant's Effective Date: 9/1/2010 - 8/31/2011

CRM Last Modified On: 01/14/2011

PRE-MONITORING PREPARATION

Program Tour: False

Policy and Procedure: False

Pre-Monitoring Checklist: False

Pre-Monitoring Preparation Checklist:
N/A

Reviewer Preparation Checklist Required:
False

Reviewer Preparation Checklist:
N/A

INTERVIEW QUESTIONS MAY BE ADMINISTERED TO THE FOLLOWING:

Chief Administrative Officer: False

Professional Staff: False

Program/Facility Administrator: False

Juvenile Board Chair: False

Ancillary Staff: False

Juvenile: False

A - State Aid

Article X Section A-B

Effective date 9/1/2010 - 8/31/2011

Latest Revision 01/14/2011

TEXT OF STANDARD

Subchapter: X. Financial Monitoring
 A. Annual Monitoring. See General Grant Requirements.
 B. Periodic Monitoring. See General Grant Requirements.

COMMENTARY

Discussion and Interpretation:
 Article X of this grant addresses the types of financial monitoring methodologies that may be utilized by the Commission to determine compliance with the provisions of the grant and references the General Grant Requirements that provide a full description of the variety of monitoring methodologies. This grant provision is for informational purposes only and will not be monitored.

Reviewer Guidelines:
 N/A

Verification Documents:
 N/A

METHODOLOGY

Compliance Methodology:
 N/A
Monitoring Methodology: N/A
Sample: N/A
Point Value: 0
Total Points Possible: 0
Scoring Methodology: N/A
Level: Level 0 - Not Monitorable

REFERENCE MATERIAL

Recommended Best Practices:
 N/A
Sample Form(s):
 N/A
Citation(s):
 Grant A - State Aid Article X Sections A-B
Cross Reference(s):
 N/A
Board Opinion:
RFI Opinion:

EFFECTIVE DATES

Grant's Effective Date: 9/1/2010 - 8/31/2011
CRM Last Modified On: 01/14/2011

PRE-MONITORING PREPARATION

Program Tour: False
Policy and Procedure: False
Pre-Monitoring Checklist: False
Pre-Monitoring Preparation Checklist:
 N/A
Reviewer Preparation Checklist Required:
 False
Reviewer Preparation Checklist:
 N/A
INTERVIEW QUESTIONS MAY BE ADMINISTERED TO THE FOLLOWING:
Chief Administrative Officer: False
Professional Staff: False
Program/Facility Administrator: False
Juvenile Board Chair: False
Ancillary Staff: False
Juvenile: False