

**Grant M - Special Needs Diversionary Program (SNDP)**

**Section I**

Effective date 9/1/2009

Latest Revision 03/01/2010

**TEXT OF STANDARD**

**Subchapter:** I. Grant Description

A. The Special Needs Diversionary Program (SNDP) is a grant designed to increase the availability of effective services to juvenile offenders with mental health needs. The Commission is working in coordination with Texas Correctional Office on Offenders with Medical and Mental Impairments (TCOOMMI) and in cooperation with mental health mental retardation agencies, to implement programs that provide services to juveniles under the supervision of the local juvenile probation departments.

**COMMENTARY**

**Discussion and Interpretation:**

Article I. 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 M-Special Needs Diversionary Program (SNDP) Article I

**Cross Reference(s):**

N/A

**Board Opinion:**

**RFI Opinion:**

**EFFECTIVE DATES**

**Grant's Effective Date:** 9/1/2009  
**CRM Last Modified On:** 9/1/2003

**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. **Collateral Contact.** Any face-to-face or verbal interaction that is not conducted with the juvenile and/or family but is in reference to the juvenile and/or family.
- B. **Community.** The geographic region in which the juvenile's parent, guardian or custodian resides.
- C. **Community Contact.** A face-to-face or verbal interaction with the juvenile and/or family that occurs in the community other than the school, juvenile's home or office/program headquarters.
- D. **Contact.** A face-to-face or verbal interaction with the juvenile and/or the juvenile's family designed to address case/treatment plan goals and objectives for the juvenile and/or family.
- E. **Core Team.** The specialized juvenile probation officer and Licensed Mental Health Professional (LMHP) assigned to the juvenile's case.
- F. **Detention/Confinement/Court Contact.** A face-to-face interaction with the juvenile and/or family that occurs while the juvenile is confined or appearing in court.
- G. **Enrollment Date.** The date when the core team initiates and coordinates services.
- H. **Home Contact.** A face-to-face interaction with the juvenile and/or family that occurs in the home of the juvenile.
- I. **Joint Contact.** A face-to-face or verbal interaction with the juvenile and/or family conducted concurrently by the specialized juvenile probation officer and QMHP.
- J. **Juvenile Probation Contact.** Any contact conducted by the specialized juvenile probation officer regarding the juvenile while in detention, confinement, court, school, office, program headquarters, community or home.
- K. **Licensed Mental Health Professional (LMHP).** An individual who is licensed or certified by the state of Texas to diagnose, evaluate or treat any mental, emotional condition or disorder including but not limited to a psychiatrist, psychologist, licensed social worker, licensed professional counselor, and marriage and family therapist.
- L. **Mental Health Contact.** Any contact conducted by the mental health professional regarding the juvenile while in detention, confinement, court, school, office, program headquarters, community or home.
- M. **Non-Core Team Member.** Any service provider who participates in the treatment, case plan, and/or case plan review of the juvenile and/or family.
- N. **Non-Custodial Contact.** A verbal and/or face-to-face interaction with the juvenile and/or non-custodial family member while the juvenile resides with that family member.
- O. **Office/Program/Headquarters Contact.** A face-to-face interaction with the juvenile and/or family in any office setting including the therapist's (and/or counselor's) office, juvenile probation officer's office or the SNDP Team's office.
- P. **Phone Contact.** A verbal interaction with the juvenile and/or family that is conducted via the telephone.
- Q. **Out-of-Home Placement.** The placement of a juvenile in a residential setting outside the home, including: foster home, pre-adjudication secure detention facility, post-adjudication secure correctional facility, non-secure correctional facility, residential childcare facility or other public or private institution or agency.
- R. **Priority Population.** The population of juveniles who have a DSM-IV Axis I diagnosis other than or in addition to substance abuse, mental retardation, autism or pervasive developmental disorder, and who meet eligibility for mental health services

and have met criteria for one of the levels of care as determined by the Child and Adolescent Texas Recommended Authorization Guidelines (CA-TRAG) in the Resiliency and Disease Management (RDM) initiative implemented by the Texas Department of State Health Services (TDSHS), or as determined by a licensed mental health professional as a result of the implementation of a standardized mental health assessment.

S. **Referral Date.** The date that the juvenile was referred to the SNDP for screening.

T. **School Contact.** A face-to-face interaction with the juvenile and/or family in the school of the juvenile.

U. **Special Needs Diversionary Program (SNDP) Team.** Consists of all core and non-core team members who are working with a juvenile and the juvenile's family.

V. **Specialized Officer.** The certified juvenile probation officer(s) funded under this grant who serves only those juveniles who have been identified as being appropriate for services through the SNDP.

**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.

**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

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Section II

Effective date 9/1/2009

Latest Revision 03/01/2010

**REFERENCE MATERIAL****Recommended Best Practices:**

N/A

**Sample Form(s):**

N/A

**Citation(s):**

Grant M-Special Needs Diversionary Program (SNDP) Article II Section A-V

**Cross Reference(s):**

N/A

**Board Opinion:**

RFI Opinion:

**EFFECTIVE DATES****Grant's Effective Date:** 9/1/2009**CRM Last Modified On:** 9/1/2003**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**Grant M - Special Needs Diversionary Program (SNDP)**



**Grant M - Special Needs Diversionary Program (SNDP)****Section III**

Effective date 9/1/2009

Latest Revision 03/01/2010

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

A. Goal. The goal of the SNDP grant is to reduce delinquency, increase offender accountability and rehabilitate juvenile offenders through a comprehensive, coordinated community-based juvenile probation system.

B. Program Objectives. The objective of the SNDP is to provide intensive mental health and supervision services to juvenile offenders with mental illness in order to prevent their removal from the home and reduce their juvenile justice involvement.

C. Program Performance.

Grantee performance under this grant shall be determined using the following measures:

1. Total number of juveniles served during the contract period;
2. Average daily population of juveniles maintained on specialized officer caseload monthly.
3. Percent of juveniles enrolled in the program who successfully complete the program;
4. Percent of juveniles enrolled in the program who are placed in a residential placement or the Texas Youth Commission within one year of exit from the program; and
5. One, two and three year recidivism rates for all juveniles served in the program.

**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 objectives for this grant describe the purposes and main functions of this grant and shall be monitored based upon the individual program performance measures discussed below in addition to the monitoring of other programmatic requirements of this grant.

Program performance

Program performance will be assessed using the performance measures outlined in this Article. Accurate program data shall be submitted by the Grantee using the Commission's Special Needs Diversionary Program (TCOMI) Internet database. The data are due to the Commission by the 10th of each month for the previous month's program/contact activities.

The Grantee will be considered in compliance with performance requirements if all data contained in the Commission's SNDP (TCOMI) internet database is complete and accurate and submitted according to the timeframes specified in the grant.

The performance measures will be calculated as described below:

1. Performance measure one (1) captures the total number of juveniles served during the contract period.
2. Performance measure two (2) calculates the average daily population of juveniles maintained on specialized officer caseload monthly.
3. Performance measure three (3) calculates the percentage of juveniles enrolled in the program who successfully complete the program;

4. Performance measure four (4) calculates the percentage of youth enrolled in the program who are placed in a residential placement or the Texas Youth Commission within one year of exit from the program;

5. One, two and three year recidivism rates for all juveniles served in the program.

**Reviewer Guidelines:**

To determine compliance with the provision of this grant, the reviewer will:

- A). Calculate the following for the grant period:
- 1) Total number of juveniles served during the contract period;
  - 2) Average daily population of juveniles maintained on specialized officer caseload monthly.
  - 3) Percent of juveniles enrolled in the program who successfully complete the program;
  - 4) Percent of juveniles enrolled in the program who are placed in a residential placement or the Texas Youth Commission within one year of exit from the program; and
  - 5) One, two and three year recidivism rates for all juveniles served in the program.

**Verification Documents:**

1. The Commission's SNDP internet tracking database
2. Monthly Extract data

**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 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

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Section III

Effective date 9/1/2009

Latest Revision 03/01/2010

**Citation(s):**

Grant M-Special Needs Diversionary Program (SNDP) Article III Section A-C

**Cross Reference(s):**

General Appropriations Act (GAA), Article 5, Texas Juvenile Probation Commission, Rider 17.

**Board Opinion:**

RFI Opinion:

**EFFECTIVE DATES****Grant's Effective Date:** 9/1/2009**CRM Last Modified On:** 9/1/2003**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:**

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



**Grant M - Special Needs Diversionary Program (SNDP)**

Section IV

Effective date 9/1/2009

Latest Revision 03/01/2010

**TEXT OF STANDARD****Subchapter:** IV. Programmatic Components

The Grantee shall ensure that the following program components are implemented:

## A. Target Population. The Grantee shall serve only those juveniles who:

1. Have received a disposition of deferred prosecution, juvenile court-ordered probation or have been released under court ordered conditions of release and are being supervised in the community by the juvenile probation department; and
2. Have met the priority population definition.

**COMMENTARY****Discussion and Interpretation:**

All juveniles enrolled in the SNDP shall be under the direct supervision of the juvenile probation department and have received a disposition of deferred prosecution, court-ordered probation or have been released under court ordered conditions of release and are being supervised in the community. The court order, conditions of release or the deferred prosecution agreement shall be used to determine if the juvenile meets this portion of the target population criteria.

Juveniles served must also meet the priority population definition. Priority population is defined as the population of juveniles who have a DSM-IV Axis I diagnosis other than or in addition to substance abuse, mental retardation, autism or pervasive developmental disorder, and who meet eligibility for mental health services and have met criteria for one of the levels of care as determined by the Child and Adolescent Texas Recommended Authorization Guidelines (CA-TRAG) in the Resiliency and Disease Management (RDM) initiative implemented by the Texas Department of State Health Services (TDSHS), or as determined by a licensed mental health professional as a result of the implementation of a standardized mental health assessment.

The juvenile's DSM IV Axis 1 diagnosis shall be documented in the clinical assessment required in Article IV (B). A copy of the clinical assessment shall be maintained in the juvenile file. For those utilizing a paperless mental health system, a printout of the clinical assessment should be contained within the juvenile's probation case file to ensure proper documentation of the juvenile's clinical eligibility.

**Reviewer Guidelines:**

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

1. Prior to the monitoring visit, obtain a random sample listing of juveniles who have been enrolled and active during the current grant period;
2. One day prior to the monitoring visit, provide the sample listing of juveniles and request the juvenile probation case files.
3. On the day of the monitoring visit, request and review the probation case file for the following:
  - a. Appropriate legal documents demonstrating the juvenile is under the supervision of the probation department; and
  - b. Documentation verifying juvenile has an appropriate DSM diagnosis

**Verification Documents:**

1. Documentation of court supervision:
  - a. Deferred prosecution agreement
  - b. Conditions of release
2. Clinical assessment

**METHODOLOGY****Compliance Methodology:**

Random Sample. The Commission Research Division shall generate a random sample of juveniles who were enrolled in the program as of 9/01/09 and who are or have been active during the grant period. Each file in the sample shall be reviewed for compliance with the required elements of the grant. The compliance grade for the grant element shall be a percentage of the total possible points based upon the number of files that are in compliance with the grant element. For example, if the reviewer pulls 30 cases and 24 of the cases comply with the grant element, the compliance grade shall be 80 percent of the total points available for the particular grant provision.

**Monitoring Methodology:** Sample %

Sample: 2 Juvenile Case Files

Point Value: 10

Total Points Possible: 30

Scoring Methodology: 0 - 10

Level: Level 3 - Critical

**REFERENCE MATERIAL****Recommended Best Practices:**

N/A

**Sample Form(s):**

N/A

**Citation(s):**

Grant M-Special Needs Diversionary Program (SNDP) Article IV Section A

**Cross Reference(s):**

N/A

**Board Opinion:**

RFI Opinion:

**EFFECTIVE DATES****Grant's Effective Date:** 9/1/2009**CRM Last Modified On:** 9/1/2003**PRE-MONITORING PREPARATION****Program Tour:** False**Policy and Procedure:** False**Pre-Monitoring Checklist:** True**Pre-Monitoring Preparation Checklist:**

1. Please provide the case files for the following juveniles:

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**Reviewer Preparation Checklist Required:** True

**Reviewer Preparation Checklist:**

1. Prior to the monitoring visit, obtain a random sample listing of 30% or 30 (whichever is the smallest number) but no less than 10 cases of juveniles who have been enrolled as of 9/01/09 and who are or have been active during the current grant period. Place the random sample listing in the Reviewer Workbook.

**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



**Grant M - Special Needs Diversionary Program (SNDP)****Section IV**

Effective date 9/1/2009

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**TEXT OF STANDARD****Subchapter:** IV. Programmatic Components

## B. Clinical Assessment.

1. Each juvenile's case file shall include a clinical assessment that has been signed and dated by a licensed mental health professional completed within 90 calendar days prior to enrollment in the SNDP.

2. The clinical assessment establishing eligibility shall contain the following information:

a. DSM-IV Axis I diagnosis other than or in addition to substance abuse, mental retardation, autism or pervasive developmental disorder; and

b. A current Global Assessment of Functioning (GAF) score.

have been active during the grant period. Each file in the sample shall be reviewed for compliance with the required elements of the grant. The compliance grade for the grant element shall be a percentage of the total possible points based upon the number of files that are in compliance with the grant element. For example, if the reviewer pulls 30 cases and 24 of the cases comply with the grant element, the compliance grade shall be 80 percent of the total points available for the particular grant provision.

**Monitoring Methodology:** Sample %  
**Sample:** 2 Juvenile Case Files  
**Point Value:** 10  
**Total Points Possible:** 10  
**Scoring Methodology:** 0 - 10  
**Level:** Level 2 - Provision of Services

**COMMENTARY****Discussion and Interpretation:**

Each juvenile is required to receive a clinical assessment from a licensed mental health professional within 90 calendar days prior to enrollment in the SNDP. A licensed mental health professional is an individual who is licensed or certified by the state of Texas to diagnose, evaluate or treat any mental, emotional condition or disorder including but not limited to a psychiatrist, psychologist, licensed social worker, licensed professional counselor, and marriage and family therapist. The clinical assessment is used to determine if the juvenile meets the priority population criteria for the SNDP and to guide the development of the initial case/treatment plan.

Each juvenile enrolled in the SNDP shall have a clinical assessment that includes a DSM IV Axis 1 diagnosis other than a diagnosis of substance abuse, mental retardation, autism or pervasive developmental disorder, and a current Global Assessment of Functioning (GAF) score.

For those utilizing a paperless mental health system, a printout of the clinical assessment should be contained within the juvenile's probation case file to ensure proper documentation of the juvenile's clinical eligibility.

**Reviewer Guidelines:**

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

1. Prior to the monitoring visit, obtain a random sample listing of juveniles who have been enrolled and active during the current grant period;
2. One day prior to the monitoring visit provide the sample listing of juveniles and request the juvenile probation case files; and
3. On the day of the monitoring visit, request and review the juvenile probation files to determine that:
  - a. The clinical assessment has been signed and dated by a licensed mental health professional completed within 90 calendar days prior to enrollment in the SNDP; and
  - b. The clinical assessment contains a contains a GAF score

**Verification Documents:**

1. Juvenile probation case file:
  - a. Clinical assessment

**METHODOLOGY****Compliance Methodology:**

Random Sample. The Commission Research Division shall generate a random sample of juveniles who were enrolled in the program as of 9/01/09 and who are or

**REFERENCE MATERIAL****Recommended Best Practices:**

N/A

**Sample Form(s):**

N/A

**Citation(s):**

Grant M - Special Needs Diversionary Program (SNDP) Article IV Section B

**Cross Reference(s):**

N/A

**Board Opinion:**

RFI Opinion:

**EFFECTIVE DATES**

**Grant's Effective Date:** 9/1/2009

**CRM Last Modified On:** 9/1/2003

**PRE-MONITORING PREPARATION**

**Program Tour:** False

**Policy and Procedure:** False

**Pre-Monitoring Checklist:** True

**Pre-Monitoring Preparation Checklist:**

1. Please provide the case files for the following juveniles:

**Reviewer Preparation Checklist Required:**

True

**Reviewer Preparation Checklist:**

1. Prior to the monitoring visit, obtain a random sample listing of 30% or 30 (whichever is the smallest number) but no less than 10 cases of juveniles who have been enrolled as of 9/01/09 and who are or have been active during the current grant period.

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Place the random sample listing in the Reviewer Workbook.

**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:** IV. Programmatic Components

## C. Family Suitability Interview.

1. The core team shall complete a family suitability interview for each juvenile found to meet the requirements for services through this program prior to or at the same time as the juvenile's enrollment into the SNDP.

2. The family suitability interview shall document the following:

- a. Whether the family is willing to participate in the program; and
- b. Whether the juvenile has an adult family member available for participation in the program;
- c. That an explanation of the requirements of the program was provided to the juvenile and family.

**COMMENTARY****Discussion and Interpretation:**

This grant provision requires the core team to conduct a family suitability interview at the time of or prior to the youth's enrollment into the program. The family suitability interview is intended to introduce the youth and family to the SNDP team. During the interview, the team shall explain the guidelines, the intention of the program, and how this program provides services to the youth and family.

The core team consists of the specialized juvenile probation officer and a Licensed Mental Health Professional (LMHP) assigned to the youth's case.

Documentation of the family suitability interview shall reflect each of the following:

- a. The date the family suitability interview was conducted;
- b. An explanation of the SNDP was provided to the juvenile and family; and
- c. The name of an adult family member who agrees to participate in the program.

**Reviewer Guidelines:**

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

1. Prior to the monitoring visit, obtain a random sample listing of juveniles who have been enrolled and active during the current grant period;
2. One day prior to the monitoring visit provide the sample listing of juveniles and request the juvenile probation case files; and
3. On the day of the monitoring visit, request and review the juvenile probation file to determine:
  - a. A family suitability interview occurred;
  - b. An explanation of the program was provided; and
  - c. A name of an adult family member who agreed to participate.

**Verification Documents:**

1. Juvenile probation case file:
  - a. Chronological notes
  - b. Family suitability form or other similar document

**METHODOLOGY****Compliance Methodology:**

Random Sample. The Commission Research Division shall generate a random sample of juveniles who were enrolled in the program as of 9/01/09 and who are or have been active during the grant period. Each file in the sample shall be reviewed for compliance with the required elements of the grant. The compliance grade for the

grant element shall be a percentage of the total possible points based upon the number of files that are in compliance with the grant element. For example, if the reviewer pulls 30 cases and 24 of the cases comply with the grant element, the compliance grade shall be 80 percent of the total points available for the particular grant provision.

**Monitoring Methodology:** Sample %  
**Sample:** 2 Juvenile Case Files  
**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 M - Special Needs Diversionary Program (SNDP) Article IV Section C

**Cross Reference(s):**

N/A

**Board Opinion:**

RFI Opinion:

**EFFECTIVE DATES**

**Grant's Effective Date:** 9/1/2009  
**CRM Last Modified On:** 9/1/2003

**PRE-MONITORING PREPARATION****Program Tour:** False**Policy and Procedure:** False**Pre-Monitoring Checklist:** True**Pre-Monitoring Preparation Checklist:**

1. Please provide the case files for the following juveniles:

**Reviewer Preparation Checklist Required:**

True

**Reviewer Preparation Checklist:**

1. Prior to the monitoring visit, obtain a random sample listing of 30% or 30 (whichever is the smallest number) but no less than 10 cases of juveniles who have been enrolled as of 9/01/09 and who are or have been active during the current grant period. Place the random sample listing in the Reviewer Workbook.

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**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

**Grant M - Special Needs Diversionary Program (SNDP)**



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**TEXT OF STANDARD**

**Subchapter:** IV. Programmatic Components

D. Insurance Screening.

1. All juveniles shall be screened for medical insurance coverage prior to or upon enrollment into the SNDP.
2. If third-party insurance, Medicaid or Children's Health Insurance Program (CHIP) does not already cover the juvenile, the SNDP Team shall ensure that an application for Medicaid or CHIP is completed and submitted within 5 calendar days of the juvenile's enrollment into the program.

**COMMENTARY**

**Discussion and Interpretation:**

This provision will not be monitored during the course of a regularly scheduled monitoring visit.

This grant provision requires that each youth enrolled into the SNDP be screened for insurance, Medicaid or Children's Health Insurance Program (CHIP) coverage. Each program site has eligibility specialist positions or a portion of those positions funded by the Texas Correctional Office on Offenders with Medical or Mental Impairments (TCOOMMI) to complete this activity for each youth accepted and/or enrolled into the SNDP.

All youth in the SNDP shall be screened for Medicaid/CHIP eligibility. If the screening indicates that the youth is not covered by insurance, an application for Medicaid/CHIP shall be submitted within 5 calendar days of the youth's enrollment into the SNDP.

The SNDP officer shall assist the family in coordinating information for completion of Medicaid/CHIP application.

**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 M - Special Needs Diversionary Program (SNDP) Article IV Section D

**Cross Reference(s):**

N/A

**Board Opinion:**

RFI Opinion:

**EFFECTIVE DATES**

**Grant's Effective Date:** 9/1/2009

**CRM Last Modified On:** 9/1/2003

**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



**Grant M - Special Needs Diversionary Program (SNDP)**

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Effective date 9/1/2009

Latest Revision 03/01/2010

**TEXT OF STANDARD****Subchapter:** IV. Programmatic Components

E. Out-of-Home Placement.

1. Juveniles may be enrolled in the SNDP if they meet the requirements under Section IV (A) upon discharge from an out-of-home placement.
2. A juvenile may remain enrolled in the SNDP if the juvenile is being placed in an out-of-home placement as long as their absence from the home does not exceed 45 calendar days. The SNDP team shall continue to provide services to the juvenile and family according to the juvenile's case/treatment plan.

**COMMENTARY****Discussion and Interpretation:**

This grant provision establishes the parameters regarding the status of enrollment of juveniles in the SNDP while in an out-of-home placement and the enrollment of juveniles coming from an out-of-home placement (e.g., residential placement, detention and/or substance abuse treatment). The SNDP is designed to provide intensive and therapeutic intervention intended to stabilize and divert juvenile with mental illness who are involved with the juvenile justice system from further penetration.

Juveniles may remain enrolled in the SNDP during an out-of-home placement as long as their absence from the home does not exceed 45 consecutive calendar days. The absence from the home includes time the juvenile spent in any combination of out-of-home placements. After 45 days the juvenile is required to be discharged from the SNDP.

A juvenile who remains enrolled in the SNDP while in an out-of-home placement shall continue to receive services from the SNDP team.

A juvenile who was terminated from the SNDP due to placement may be re-enrolled in the SNDP after returning to the community if the core team agrees and if the requirements under Article IV (A) have been satisfied.

Example:

Juvenile Q spends 26 days in detention. Juvenile Q is then placed in a residential treatment center. After 30 days in the residential treatment center, the juvenile is discharged and placed back in the juvenile's home in the community. The total number of days that Q was out of the home is 56 calendar days. Therefore, Q should have been discharged from SNDP enrollment by the 45th day he was out of the home.

**Reviewer Guidelines:**

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

1. Prior to the monitoring visit, obtain a random sample listing of juvenile who have been enrolled and active during the current grant period;
2. One day prior to the monitoring visit provide the sample listing of juveniles and request the juvenile probation case files; and
3. On the day of the monitoring visit, request and review the juvenile probation case file to determine if the juvenile remained enrolled in the SNDP longer than 45 consecutive calendar days while in an out-of-home placement.

**Verification Documents:**

1. Juvenile probation case file:
  - a. Chronological notes

**METHODOLOGY****Compliance Methodology:**

Random Sample. The Commission Research Division shall generate a random sample of juveniles who were enrolled in the program as of 9/01/09 and who are or have been active during the grant period. Each file in the sample shall be reviewed for compliance with the required elements of the grant. The compliance grade for the grant element shall be a percentage of the total possible points based upon the number of files that are in compliance with the grant element. For example, if the reviewer pulls 30 cases and 24 of the cases comply with the grant element, the compliance grade shall be 80 percent of the total points available for the particular grant provision.

**Monitoring Methodology:** Sample %  
**Sample:** 2 Juvenile Case Files  
**Point Value:** 10  
**Total Points Possible:** 30  
**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 M-Special Needs Diversionary Program (SNDP) Article IV Section E

**Cross Reference(s):**

N/A

**Board Opinion:**

RFI Opinion:

**EFFECTIVE DATES**

**Grant's Effective Date:** 9/1/2009  
**CRM Last Modified On:** 9/1/2003

**PRE-MONITORING PREPARATION**

**Program Tour:** False

**Policy and Procedure:** False

**Pre-Monitoring Checklist:** True

**Pre-Monitoring Preparation Checklist:**

1. Please provide the case files for the following juveniles:

**Grant M - Special Needs Diversionary Program (SNDP)**

**Grant M - Special Needs Diversionary Program (SNDP)**

Section IV

Effective date 9/1/2009

Latest Revision 03/01/2010

**Reviewer Preparation Checklist Required:** True**Reviewer Preparation Checklist:**

1. Prior to the monitoring visit, obtain a random sample listing of 30% or 30 (whichever is the smallest number) but no less than 10 cases of juveniles who have been enrolled as of 9/01/09 and who are or have been active during the current grant period. Place the random sample listing in the Reviewer Workbook.

**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



**Grant M - Special Needs Diversionary Program (SNDP)**

**Section IV**

Effective date 9/1/2009

Latest Revision 03/01/2010

**TEXT OF STANDARD**

**Subchapter:** IV. Programmatic Components

F. Re-enrollment of Discharged Juvenile. Juveniles may be re-enrolled into the SNDP after previously completing the program or having been discharged from the program if the requirements under Section IV (A) are met.

**COMMENTARY**

**Discussion and Interpretation:**

This provision will not be monitored during the course of a regularly scheduled monitoring visit.

This grant provision establishes the guidelines for re-enrollment of juveniles in the SNDP. Juveniles who have been discharged before completing the program or who have previously completed the program may be re-enrolled if the requirements are satisfied under Article IV Section (A) and the juvenile and family could benefit from further participation in the program.

**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 M - Special Needs Diversionary Program (SNDP) Article IV Section F

**Cross Reference(s):**

N/A

**Board Opinion:**

**RFI Opinion:**

**EFFECTIVE DATES**

**Grant's Effective Date:** 9/1/2009  
**CRM Last Modified On:** 9/1/2003

**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



**Grant M - Special Needs Diversionary Program (SNDP)****Section IV**

Effective date 9/1/2009

Latest Revision 03/01/2010

**TEXT OF STANDARD****Subchapter:** IV. Programmatic Components

## G. Team Requirements.

1. At least one member of the core team shall be available in person, by pager, office phone or cell phone to the family 24 hours a day, seven days a week and 365 days a year for assistance with crisis resolution.

**COMMENTARY****Discussion and Interpretation:**

This grant provision requires a member of the core team to be available to the family 24 hours a day, seven days a week and 365 days a year for assistance with crisis resolution. Non-core team members and/or a crisis designee may be substituted for the core team member during the initial screening of crisis with the family as long as the core team member initiates appropriate follow-up within 24 hours of the crisis. With the population the SNDP serves, it should be expected that crisis will occur. Therefore, it is essential that a core team member be available when crisis arises with the family.

The SNDP is designed to provide intensive and therapeutic intervention intended to stabilize and divert juveniles with mental illness from further penetration into the juvenile justice system.

Information is required to be provided to the juvenile and family upon enrollment into the SNDP on how to access an available team member 24 hours a day. Crisis plans are typically contained in the juvenile case plan. Documentation of the provision of this information shall be maintained in the case file.

**Reviewer Guidelines:**

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

1. Prior to the monitoring visit, obtain a random sample listing of juveniles who have been enrolled and active during the current grant period;
2. One day prior to the monitoring visit provide the sample listing of juveniles and request the juvenile probation case files; and
3. On the day of the monitoring visit, request and review the juvenile probation case file to determine if documentation was provided to the juvenile and family containing information detailing how to access the core-team 24 hrs a day, seven days a week and 365 days a year for assistance with crisis resolution.

**Verification Documents:**

1. Juvenile probation case file:
  - a. Initial case/treatment plan
  - b. Chronological notes

**METHODOLOGY****Compliance Methodology:**

Random Sample. The Commission Research Division shall generate a random sample of juveniles who were enrolled in the program as of 9/01/09 and who are or have been active during the grant period. Each file in the sample shall be reviewed for compliance with the required elements of the grant. The compliance grade for the grant element shall be a percentage of the total possible points based upon the number of files that are in compliance with the grant element. For example, if the reviewer pulls 30 cases and 24 of the cases comply with the grant element, the compliance grade shall be 80 percent of the total points available for the particular grant provision.

**Monitoring Methodology:** Sample %  
**Sample:** 2 Juvenile Case Files  
**Point Value:** 10  
**Total Points Possible:** 20  
**Scoring Methodology:** 0 or 10  
**Level:** Level 2 - Provision of Services

**REFERENCE MATERIAL****Recommended Best Practices:**

N/A

**Sample Form(s):**

N/A

**Citation(s):**

Grant M - Special Needs Diversionary Program (SNDP) Article IV Section G 1

**Cross Reference(s):**

N/A

**Board Opinion:****RFI Opinion:****EFFECTIVE DATES**

**Grant's Effective Date:** 9/1/2009  
**CRM Last Modified On:** 9/1/2003

**PRE-MONITORING PREPARATION****Program Tour:** False**Policy and Procedure:** False**Pre-Monitoring Checklist:** True**Pre-Monitoring Preparation Checklist:**

1. Please provide the case files for the following juveniles:

**Reviewer Preparation Checklist Required:**

True

**Reviewer Preparation Checklist:**

1. Prior to the monitoring visit, obtain a random sample listing of 30% or 30 (whichever is the smallest number) but no less than 10 cases of juveniles who have been enrolled as of 9/01/09 and who are or have been active during the current grant period. Place the random sample listing in the Reviewer Workbook.

**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



**Grant M - Special Needs Diversionary Program (SNDP)**

**Section IV**

Effective date 9/1/2009

Latest Revision 03/01/2010

**TEXT OF STANDARD**

**Subchapter:** IV. Programmatic Components

G. Team Requirements.

2. The core team shall maintain a minimum average daily caseload of 12 juveniles and their families. A SNDP officer caseload shall not exceed 20 juveniles at any one time.

**COMMENTARY**

**Discussion and Interpretation:**

This grant provision will not be monitored during the course of the regularly scheduled monitor visit.

This grant provision requires that a SNDP officer maintains an average daily caseload of no less than 12 juveniles and families and may not exceed 20 at any one time. This grant requirement will be monitored on a monthly basis in accordance with the interagency memorandum of understanding between the Commission and the Texas Correctional Office on Offenders with Medical and Mental Impairments (TCOOMMI). A Non-Compliance Citation Report (NCCR) will be issued if a program is found out of compliance with the caseload size grant provision.

Compliance with the caseload capacity will be determined by the Commission and TCOOMMI by dividing the total number of days each juvenile is served in a month divided by the total days of the month. The final number will provide the average number caseload size served for the month.

Formula:

X= total cumulative number of days each juvenile was served during the month  
Y= total days in the month

X divided by Y = Average caseload size for that month

**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:**

Once the specialized team caseloads reach capacity at 20 juveniles per caseload, it is suggested that a waiting list be made and maintained. Therefore, juveniles may complete each of the enrollment criteria (clinical assessment, family suitability, Medicaid/Chip screening and/or application), and be "accepted" to the program pending an open slot on a team.

**Sample Form(s):**

N/A

**Citation(s):**

Grant M - Special Needs Diversionary Program (SNDP) Article IV Section G 2

**Cross Reference(s):**

N/A

**Board Opinion:**

**RFI Opinion:**

**EFFECTIVE DATES**

**Grant's Effective Date:** 9/1/2009

**CRM Last Modified On:** 9/1/2003

**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



**Grant M - Special Needs Diversionary Program (SNDP)****Section IV**

Effective date 9/1/2009

Latest Revision 03/01/2010

**TEXT OF STANDARD****Subchapter:** IV. Programmatic Components

## G. Team Requirements.

3. The SNDP officer shall have at least one face-to-face in-home contact with the juvenile and family per week during the first thirty days of enrollment. If a parent is not present during the required home visit, the SNDP officer is required to have a subsequent contact with the parent. After the first thirty days, the frequency of face-to-face in-home contacts with the juvenile and family shall be addressed in the monthly case/treatment plan reviews.

**COMMENTARY****Discussion and Interpretation:**

This grant provision establishes the guidelines for the contacts conducted by the SNDP officer with the juvenile and family enrolled in the SNDP.

The SNDP officer is required to have at least one face-to-face in-home contact with the juvenile and parent each week during the first thirty days of enrollment. If the parent is not present during the required home visit, the SNDP officer is required to have a subsequent contact with the parent. This subsequent contact with the parent may be in-home, in-office, or by telephone.

The core team, when developing the case plan may set a higher number of contacts but a minimum of one face-to-face contact with the juvenile and parent is required during the first 30 days of enrollment in the SNDP. Joint contacts made by SNDP officer and the LMHP will count as a contact for each.

After the first 30 days of enrollment in the SNDP the core team is required to conduct a case plan review and at that time the team shall based upon the needs of the juvenile and family determine the number and type of contacts above the one contact required per week.

Documentation of all contacts and attempted contacts shall be maintained in the juvenile file.

Documentation indicating that extenuating circumstances causing the SNDP officer to fail to meet the minimum contact requirement shall be considered by the reviewer. Extenuating circumstances are situations that occur out of the control of the core team. Extenuating circumstances could include natural disasters such as floods and/or hurricanes, immediate family emergencies and/or other unforeseen events. Attempted contacts will count towards the contact requirement if supporting documentation indicates appropriate follow-up was conducted by the team after the attempt was made.

**Reviewer Guidelines:**

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

1. Prior to the monitoring visit, obtain a random sample listing of juveniles who have been enrolled and active during the current grant period;
2. Prior to the monitoring visit, access the contact data from the Commission's SNDP (TCOMI) Internet data base and count the number of in-home face-to-face officer contacts reported the first 30 days of the juveniles enrollment;
3. One day prior to the monitoring visit, provide the sample listing of juveniles and request the probation case files;
4. On the day of the monitoring visit, request and review the probation files of those juveniles in the random sample listing to verify that a juvenile and adult family member were present during one weekly, face-to-face in-home contact listed in the database;
5. If adult family member was not present during the one face-to-face weekly in-home contact, verify that a subsequent contact was made with the adult family member; and

6. If no weekly face-to-face in-home contact was made, determine if extenuating circumstances existed.

**Verification Documents:**

1. Juvenile probation case file:
  - a. Chronological notes

**METHODOLOGY****Compliance Methodology:**

Random Sample. The Commission Research Division shall generate a random sample of juveniles who were enrolled in the program as of 9/01/09 and who are or have been active during the grant period. Each file in the sample shall be reviewed for compliance with the required elements of the grant. The compliance grade for the grant element shall be a percentage of the total possible points based upon the number of files that are in compliance with the grant element. For example, if the reviewer pulls 30 cases and 24 of the cases comply with the grant element, the compliance grade shall be 80 percent of the total points available for the particular grant provision.

**Monitoring Methodology:** Sample %  
**Sample:** 2 Juvenile Case Files  
**Point Value:** 10  
**Total Points Possible:** 30  
**Scoring Methodology:** 0 - 10  
**Level:** Level 3 - Critical

**REFERENCE MATERIAL****Recommended Best Practices:**

N/A

**Sample Form(s):**

N/A

**Citation(s):**

Grant M - Special Needs Diversionary Program (SNDP) Article IV Section G 3

**Cross Reference(s):**

N/A

**Board Opinion:****RFI Opinion:****EFFECTIVE DATES**

**Grant's Effective Date:** 9/1/2009  
**CRM Last Modified On:** 9/1/2003

**Grant M - Special Needs Diversionary Program (SNDP)**

**Grant M - Special Needs Diversionary Program (SNDP)**

Section IV

Effective date 9/1/2009

Latest Revision 03/01/2010

**PRE-MONITORING PREPARATION****Program Tour:** False**Policy and Procedure:** False**Pre-Monitoring Checklist:** True**Pre-Monitoring Preparation Checklist:**

1. Please provide the case files for the following juvenile:

**Reviewer Preparation Checklist Required:** True**Reviewer Preparation Checklist:**

1. Prior to the monitoring visit, obtain a random sample listing of 30% or 30 (whichever is the smallest number) but no less than 10 cases of juveniles who have been enrolled as of 9/01/09 and who are or have been active during the current grant period. Place the random sample listing in the Reviewer Workbook.

**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



**Grant M - Special Needs Diversionary Program (SNDP)**

Section IV

Effective date 9/1/2009

Latest Revision 03/01/2010

**TEXT OF STANDARD****Subchapter:** IV. Programmatic Components

## G. Team Requirements.

4. The first 30-day case plan review and all subsequent case plan reviews by the core team shall determine, based on need, the number and type of contacts with the juvenile and family to be made by the team. The SNDP officer shall conduct at least one contact per week with the juvenile for the duration of enrollment in the SNDP.

**COMMENTARY****Discussion and Interpretation:**

The SNDP is intended to increase the availability of effective services to juvenile offenders with mental health needs in order to stabilize these juveniles and divert them from penetrating further into the juvenile justice system.

This grant provision requires 30 day case plan reviews. Reviews by the core team shall determine the number and type of contacts to be provided in the following 30 day period by the SNDP officer and the LMHP based upon the juvenile and family needs. The team shall evaluate, based upon progress or lack of progress, the family's current needs and re-evaluate the necessity for adjusting services and the number and type of contacts needed by the juvenile and family to reach goals identified in the case plan and in the probation supervision requirements.

The SNDP officer is required after the first 30 days of the juvenile's enrollment in SNDP to conduct at least one contact with the juvenile weekly. For purposes of this grant provision, weekly contact means no more than 7 calendar days shall lapse between contacts. Joint contacts made by SNDP officer and LMHP will count as a contact for each.

Contacts are required to be documented into the Commission's Special Needs Diversionary Program (TCOMI) Internet database and also documented into the juvenile's case file.

Documentation indicating that extenuating circumstances causing the SNDP officer to fail to meet the contact requirements established in the case plan review shall be considered by the reviewer. Extenuating circumstances are situations that occur out of the control of the core team. Extenuating circumstances could include natural disasters such as floods and/or hurricanes, immediate family emergencies and/or other unforeseen events. Attempted contacts will count towards the contact requirement if supporting documentation indicates appropriate follow-up was conducted by the team after the attempt was made.

**Reviewer Guidelines:**

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

1. Prior to the monitoring visit, obtain a random sample listing of juveniles who have been enrolled and active during the current grant period;
2. Prior to the monitoring visit, select a block sample of two consecutive months beginning 9/01/09.
3. Prior to the monitoring visit, access the contact data from the Commission's SNDP (TCOMI) Internet data base and determine that a weekly contact with the juvenile by the SNDP officer was made during the random sample two month period;
4. One day prior to the monitoring visit, provide the sample listing of juveniles and request the probation case files; and
5. On the day of the monitoring visit, request and review the probation files of those juveniles in the random sample listing that did not have one weekly contact listed in the database to determine if extenuating circumstances existed.

**Verification Documents:**

1. Juvenile probation case file:
  - a. Chronological notes

b. The Commission's SNDP internet tracking database

**METHODOLOGY****Compliance Methodology:**

Random Sample. The Commission Research Division shall generate a random sample of juveniles who were enrolled in the program as of 9/01/09 and who are or have been active during the grant period. Each file in the sample shall be reviewed for compliance with the required elements of the grant. The compliance grade for the grant element shall be a percentage of the total possible points based upon the number of files that are in compliance with the grant element. For example, if the reviewer pulls 30 cases and 24 of the cases comply with the grant element, the compliance grade shall be 80 percent of the total points available for the particular grant provision.

**Monitoring Methodology:** Sample %

**Sample:** 2 Juvenile Case Files

**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 M - Special Needs Diversionary Program (SNDP) Article IV Section G 4

**Cross Reference(s):**

N/A

**Board Opinion:**

RFI Opinion:

**EFFECTIVE DATES**

**Grant's Effective Date:** 9/1/2009

**CRM Last Modified On:** 9/1/2003

**PRE-MONITORING PREPARATION**

**Program Tour:** False

**Policy and Procedure:** False

**Pre-Monitoring Checklist:** True

**Grant M - Special Needs Diversionary Program (SNDP)**

**Grant M - Special Needs Diversionary Program (SNDP)**

Section IV

Effective date 9/1/2009

Latest Revision 03/01/2010

**Pre-Monitoring Preparation Checklist:**

1. Please provide the case files for the following juveniles:

**Reviewer Preparation Checklist Required:** True

**Reviewer Preparation Checklist:**

1. Prior to the monitoring visit, obtain a random sample listing of 30% or 30 (whichever is the smallest number) but no less than 10 cases of juveniles who have been enrolled as of 9/01/09 and who are or have been active during the current grant period. Place the random sample listing in the Reviewer Workbook.

**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



**Grant M - Special Needs Diversionary Program (SNDP)**

Section IV

Effective date 9/1/2009

Latest Revision 03/01/2010

**TEXT OF STANDARD****Subchapter:** IV. Programmatic Components

## G. Enrollment

5. The core team shall establish a unified enrollment date for each individual juvenile enrolled in the program.

**COMMENTARY****Discussion and Interpretation:**

This grant provision requires that the core team establish and document a unified enrollment date of the juvenile in the program. A unified enrollment date indicates that the core team initiates the provision of service with the juvenile and family at the same time. The core team consists of the specialized juvenile probation officer and a Licensed Mental Health Professional (LMHP) assigned to the juvenile's case. Both the mental health centers and juvenile probation department's supporting case file documentation and the Commission's SNDP internet tracking database shall reflect a unified enrollment date among the core team for each juvenile enrolled into the SNDP.

Juveniles may complete each of the enrollment procedures (clinical assessment, family suitability, Medicaid/Chip screening and/or application), and be "accepted" into the program pending an open slot on a team. Once an open slot in the SNDP becomes available, the juvenile may be enrolled into the program. The accepted date can be different between the mental health center and juvenile probation department as long as the date of actual enrollment is considered the unified enrollment date.

**Reviewer Guidelines:**

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

1. Prior to the monitoring visit, obtain a random sample listing of juveniles who have been enrolled and active during the current grant period;
2. One day prior to the monitoring visit, request the juvenile probation case files; and
3. On the day of the monitoring visit, request and review the probation files of those juveniles in the random sample listing, compare the case file documentation enrollment date to the enrollment date reported in the Commission's SNDP internet tracking data base.

**Verification Documents:**

1. Juvenile probation case file:
  - a. Chronological notes
  - b. Initial case plan
2. The Commission's SNDP internet tracking database

**METHODOLOGY****Compliance Methodology:**

Random Sample. The Commission Research Division shall generate a random sample of juveniles who were enrolled in the program as of 9/01/09 and who are or have been active during the grant period. Each file in the sample shall be reviewed for compliance with the required elements of the grant. The compliance grade for the grant element shall be a percentage of the total possible points based upon the number of files that are in compliance with the grant element. For example, if the reviewer pulls 30 cases and 24 of the cases comply with the grant element, the compliance grade shall be 80 percent of the total points available for the particular grant provision.

**Monitoring Methodology:** Sample %  
**Sample:** 2 Juvenile Case Files  
**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 M - Special Needs Diversionary Program (SNDP) Article IV Section G 5

**Cross Reference(s):**

N/A

**Board Opinion:****RFI Opinion:****EFFECTIVE DATES**

**Grant's Effective Date:** 9/1/2009  
**CRM Last Modified On:** 9/1/2003

**PRE-MONITORING PREPARATION****Program Tour:** False**Policy and Procedure:** False**Pre-Monitoring Checklist:** True**Pre-Monitoring Preparation Checklist:**

1. Please provide the case files for the following juveniles:

**Reviewer Preparation Checklist Required:**

True

**Reviewer Preparation Checklist:**

1. Prior to the monitoring visit, obtain a random sample listing of 30% or 30 (whichever is the smallest number) but no less than 10 cases of juveniles who have been enrolled as of 9/01/09 and who are or have been active during the current grant period. Place the random sample listing in the Reviewer Workbook.

**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



**Grant M - Special Needs Diversionary Program (SNDP)**

**Section IV**

Effective date 9/1/2009

Latest Revision 03/01/2010

**TEXT OF STANDARD**

**Subchapter:** IV. Programmatic Components

G. Team Requirements

6. The core team shall provide services to the juvenile and family for the period the juvenile is enrolled in the SNDP.

**COMMENTARY**

**Discussion and Interpretation:**

This grant provision will not be monitored during a regularly scheduled monitoring visit.

This grant provision requires that the core team provide services to the juvenile and family for the entire period the juvenile is enrolled in SNDP.

The period of time a juvenile and family enrolled in the SNDP shall be based on juvenile and family needs and may vary from case-to-case. The length of time which a juvenile is enrolled is determined, documented and justified by the core team at the time of case plan reviews.

**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 M - Special Needs Diversionary Program (SNDP) Article IV Section G 6

**Cross Reference(s):**

N/A

**Board Opinion:**

**RFI Opinion:**

**EFFECTIVE DATES**

**Grant's Effective Date:** 9/1/2009  
**CRM Last Modified On:** 9/1/2003

**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



**Grant M - Special Needs Diversionary Program (SNDP)**

**Section IV**

Effective date 9/1/2009

Latest Revision 03/01/2010

**TEXT OF STANDARD**

**Subchapter:** IV. Programmatic Components

G. Team Requirements.

7. Weekly communication between core team members is required to monitor the progress and needs of each juvenile enrolled in SNDP.

**COMMENTARY**

**Discussion and Interpretation:**

Weekly communications between core team members is required in order to monitor and discuss the implementation of the case plan, juvenile needs, progress and on-going issues with the juvenile and family.

Documentation of weekly communications between core team members shall be maintained in the juvenile's probation case files.

**Reviewer Guidelines:**

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

1. Prior to the monitoring visit, obtain a random sample listing of juveniles who have been enrolled and active during the current grant period;
2. One day prior to the monitoring visit, request the juvenile probation case files contained in the sample;
3. On the day of the monitoring visit, select a block sample of two consecutive months for the period beginning 9/01/09; and
4. Request and review the juvenile case files to determine if weekly contact between the SNDP officer and the LMHP occurred.

**Verification Documents:**

1. Juvenile probation case file:
  - a. Chronological notes

**METHODOLOGY**

**Compliance Methodology:**

Random Sample. The Commission Research Division shall generate a random sample of juveniles who were enrolled in the program as of 9/01/09 and who are or have been active during the grant period. Each file in the sample shall be reviewed for compliance with the required elements of the grant. The compliance grade for the grant element shall be a percentage of the total possible points based upon the number of files that are in compliance with the grant element. For example, if the reviewer pulls 30 cases and 24 of the cases comply with the grant element, the compliance grade shall be 80 percent of the total points available for the particular grant provision.

**Monitoring Methodology:** Sample %  
**Sample:** 2 Juvenile Case Files  
**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 M - Special Needs Diversionary Program (SNDP) Article IV Section G 7

**Cross Reference(s):**

N/A

**Board Opinion:**

RFI Opinion:

**EFFECTIVE DATES**

**Grant's Effective Date:** 9/1/2009  
**CRM Last Modified On:** 9/1/2003

**PRE-MONITORING PREPARATION**

**Program Tour:** False

**Policy and Procedure:** False

**Pre-Monitoring Checklist:** True

**Pre-Monitoring Preparation Checklist:**

1. Please provide the case files for the following juveniles.

**Reviewer Preparation Checklist Required:**

True

**Reviewer Preparation Checklist:**

1. Prior to the monitoring visit, obtain a random sample listing of 30% or 30 (whichever is the smallest number) but no less than 10 cases of juveniles who have been enrolled as of 9/01/09 and who are or have been active during the current grant period. Place the random sample listing in the Reviewer Workbook.

**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



**Grant M - Special Needs Diversionary Program (SNDP)**

Section IV

Effective date 9/1/2009

Latest Revision 03/01/2010

**TEXT OF STANDARD****Subchapter:** IV. Programmatic Components

H. Case/ Treatment Plan.

1. The core team shall meet with the youth and family and develop an initial case/treatment plan within 72 hours of the youth's enrollment into the program.

**COMMENTARY****Discussion and Interpretation:**

This grant provision requires that the core team meet with the juvenile and family to develop an initial case/treatment plan within 72 hours of the juvenile's unified enrollment date into the program. With the population the SNDP serves it should be expected that crises will occur. Therefore, it is essential that a plan to address potential crisis behavior be in place between the juvenile, family and core team upon the juvenile's enrollment in the SNDP.

The date of the signatures of the SNDP officer, juvenile and family on the initial case/treatment plan will be used to determine compliance with this grant provision.

For example, juvenile Y was enrolled in the SNDP on the fourth day of April. Therefore an initial case/treatment plan was developed by the core team, juvenile and family by the seventh day of April but the juvenile and family does not sign the plan until the tenth day of April, the case plan would be out of compliance with this grant provision.

If any party refuses or is unable to sign the initial case/treatment plan, documentation of attempted effort, and the reason why they refused or are unable to sign shall be contained in the case file documentation to satisfy this grant provision.

**Reviewer Guidelines:**

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

1. Prior to the monitoring visit, obtain a random sample listing of juveniles who have been enrolled and active during the current grant period;
2. One day prior to the monitoring visit, request the juvenile probation case files contained in the sample; and
3. On the date of the monitoring visit, request and review case plan/chronological notes in the juvenile probation case file to determine if an initial case/treatment plan was developed within 72 hours of the juvenile's enrollment into the program.

**Verification Documents:**

1. Juvenile probation case file:
  - a. Chronological notes
  - b. Initial case/treatment plan

**METHODOLOGY****Compliance Methodology:**

Random Sample. The Commission Research Division shall generate a random sample of juveniles who were enrolled in the program as of 9/01/09 and who are or have been active during the grant period. Each file in the sample shall be reviewed for compliance with the required elements of the grant. The compliance grade for the grant element shall be a percentage of the total possible points based upon the number of files that are in compliance with the grant element. For example, if the reviewer pulls 30 cases and 24 of the cases comply with the grant element, the compliance grade shall be 80 percent of the total points available for the particular grant provision.

**Monitoring Methodology:** Sample %  
**Sample:** 2 Juvenile Case Files  
**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 M - Special Needs Diversionary Program (SNDP) Article IV Section H 1

**Cross Reference(s):**

N/A

**Board Opinion:**

RFI Opinion:

**EFFECTIVE DATES**

**Grant's Effective Date:** 9/1/2009  
**CRM Last Modified On:** 9/1/2003

**PRE-MONITORING PREPARATION****Program Tour:** False**Policy and Procedure:** False**Pre-Monitoring Checklist:** True**Pre-Monitoring Preparation Checklist:**

1. Please provide the case files for the following juveniles:

**Reviewer Preparation Checklist Required:**

True

**Reviewer Preparation Checklist:**

1. Prior to the monitoring visit, obtain a random sample listing of 30% or 30 (whichever is the smallest number) but no less than 10 cases of juveniles who have been enrolled as of 9/01/09 and who are or have been active during the current grant period. Place the random sample listing in the Reviewer Workbook.

**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

**Grant M - Special Needs Diversionary Program (SNDP)**



**TEXT OF STANDARD****Subchapter:** IV. Programmatic Components

## H. Case/ Treatment Plan.

2. The case/treatment plan shall be developed by the core team with input from the juvenile, the parent, or custodian.

**COMMENTARY****Discussion and Interpretation:**

This grant provision requires that the core team meet with the juvenile and family to develop an initial case/treatment plan with input from the juvenile and the family. With the population the SNDP serves it should be expected that crises will occur. Therefore, it is essential that a case plan addresses how to handle crisis that arise be in place upon the juvenile's enrollment in the SNDP. The SNDP is designed to provide an intensive and therapeutic intervention intended to divert juveniles with mental illness who are involved with the juvenile justice system from further penetration. The core team is responsible for providing the minimum requirements of the SNDP grant and shall consist of no less than the specialized juvenile probation officer and the Licensed Mental Health Professional (LMHP). A LMHP is an individual who is licensed or certified by the state of Texas to diagnose, evaluate or treat any mental, emotional condition or disorder including but not limited to a psychiatrist, psychologist, licensed social worker, licensed professional counselor, and marriage and family therapist.

The signatures of the juvenile and family on the initial case plan will be used to determine compliance with this grant provision.

If any party refuses or is unable to sign the initial case/treatment plan, documentation of attempted effort and the reason why they refuse or are unable to sign shall be contained in the case file.

**Reviewer Guidelines:**

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

1. Prior to the monitoring visit, obtain a random sample listing of juveniles who have been enrolled and active during the current grant period;
2. One day prior to the monitoring visit, request and review the probation case files contained in the sample; and
3. On the day of the monitoring visit, request and review the probation case file for signatures of the juvenile and family on the initial case plan.

**Verification Documents:**

1. Juvenile probation case file:
  - a. Chronological notes
  - b. Initial case/treatment plan

**METHODOLOGY****Compliance Methodology:**

Random Sample. The Commission Research Division shall generate a random sample of juveniles who were enrolled in the program as of 9/01/09 and who are or have been active during the grant period. Each file in the sample shall be reviewed for compliance with the required elements of the grant. The compliance grade for the grant element shall be a percentage of the total possible points based upon the number of files that are in compliance with the grant element. For example, if the reviewer pulls 30 cases and 24 of the cases comply with the grant element, the compliance grade shall be 80 percent of the total points available for the particular grant provision.

**Monitoring Methodology:** Sample %  
**Sample:** 2 Juvenile Case Files  
**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 M - Special Needs Diversionary Program (SNDP) Article IV Section H 2

**Cross Reference(s):**

N/A

**Board Opinion:**

RFI Opinion:

**EFFECTIVE DATES**

**Grant's Effective Date:** 9/1/2009  
**CRM Last Modified On:** 9/1/2003

**PRE-MONITORING PREPARATION**

**Program Tour:** False

**Policy and Procedure:** False

**Pre-Monitoring Checklist:** True

**Pre-Monitoring Preparation Checklist:**

1. Please provide the case files for the following juveniles:

**Reviewer Preparation Checklist Required:**

True

**Reviewer Preparation Checklist:**

1. Prior to the monitoring visit, obtain a random sample listing of 30% or 30 (whichever is the smallest number) but no less than 10 cases of juveniles who have been enrolled as of 9/01/09 and who are or have been active during the current grant period. Place the random sample listing in the Reviewer Workbook.

**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



# Grant M - Special Needs Diversionary Program (SNDP)

## Section IV

Effective date 9/1/2009

Latest Revision 03/01/2010

### TEXT OF STANDARD

**Subchapter:** IV. Programmatic Components

H. Case/ Treatment Plan.

3. The case/treatment plan shall be written in terms that are specific and measurable and shall document each of the following criteria:

- a. All identified areas of need for the juvenile and family;
- b. What activity/intervention is to be completed;
- c. Who is responsible for completing the activity/intervention;
- d. When the activity/intervention is to be conducted and/or completed;
- e. How the activity/intervention is to be conducted;
- f. What services will be made available to the juvenile and family to assist them in acquiring skills and resources to meet their needs.
- g. All required contacts; and
- h. What long-term community supports will be utilized.

### COMMENTARY

**Discussion and Interpretation:**

This grant provision requires that all services offered to the juvenile and family are to be outlined with clearly measurable goals and interventions within the initial case/treatment plan. The goals and interventions identified in the plan shall be measurable, achievable and written in language that is familiar to the juvenile and family. There is no required form to be used as the initial case/treatment plan. Compliance with this grant provision will be determined by reviewing the initial case/treatment plan and determining if it clearly documents the following:

- a. All identified areas of need for the juvenile and family;
- b. What activity/intervention is to be completed;
- c. Who is responsible for completing the activity/intervention;
- d. When the activity/intervention is to be conducted and/or completed;
- e. How the activity/intervention is to be conducted;
- f. What services will be made available to the juvenile and family to assist them in acquiring skills and resources to meet their needs;
- g. All required contacts; and
- h. What long-term community supports will be utilized.

The case/treatment plan should address areas identified in the mental health assessment and tailored to the individual juvenile and family needs.

Case plans should be written in terms that are detailed and specific in providing guidelines to the juvenile and family. For example: addresses, phone numbers, specific contact persons, directions to service providers, etc.

For some families, working on all needs identified at one time can make the case/treatment planning process overwhelming. Therefore, the initial case/treatment plan should allow the family and team to prioritize the areas of need. The provision of services offered to the juvenile and family in the initial case/treatment plan shall be documented by the SNDP officer in the chronological notes.

**Reviewer Guidelines:**

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

- 1. Prior to the monitoring visit, obtain a random sample listing of juveniles who have been enrolled and active during the current grant period;
- 2. One day prior to the monitoring visit, request the juvenile probation case files contained in the sample;
- 3. On the day of the monitoring visit, request and review the initial case/treatment plan to determine whether it clearly identifies items a-h; and
- 4. Review case file documentation to determine if the elements of the case plan were implemented by the SNDP officer.

**Verification Documents:**

- 1. Juvenile probation case file:
  - a. Chronological notes
  - b. Initial case/treatment plan

### METHODOLOGY

**Compliance Methodology:**

Random Sample. The Commission Research Division shall generate a random sample of juveniles who were enrolled in the program as of 9/01/09 and who are or have been active during the grant period. Each file in the sample shall be reviewed for compliance with the required elements of the grant. The compliance grade for the grant element shall be a percentage of the total possible points based upon the number of files that are in compliance with the grant element. For example, if the reviewer pulls 30 cases and 24 of the cases comply with the grant element, the compliance grade shall be 80 percent of the total points available for the particular grant provision.

**Monitoring Methodology:** Sample %  
**Sample:** 2 Juvenile Case Files  
**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 M - Special Needs Diversionary Program (SNDP) Article IV Section H 3

**Cross Reference(s):**

N/A

**Board Opinion:**

**RFI Opinion:**

### EFFECTIVE DATES

**Grant's Effective Date:** 9/1/2009  
**CRM Last Modified On:** 9/1/2003

### PRE-MONITORING PREPARATION

**Program Tour:** False

**Policy and Procedure:** False

**Grant M - Special Needs Diversionary Program (SNDP)**

Section IV

Effective date 9/1/2009

Latest Revision 03/01/2010

**Pre-Monitoring Checklist:** True**Pre-Monitoring Preparation Checklist:**

1. Please provide the case files for the following juveniles:

**Reviewer Preparation Checklist Required:** True**Reviewer Preparation Checklist:**

1. Prior to the monitoring visit, obtain a random sample listing of 30% or 30 (whichever is the smallest number) but no less than 10 cases of juveniles who have been enrolled as of 9/01/09 and who are or have been active during the current grant period. Place the random sample listing in the Reviewer Workbook.

**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



**Grant M - Special Needs Diversionary Program (SNDP)**

**Section IV**

Effective date 9/1/2009

Latest Revision 03/01/2010

**TEXT OF STANDARD**

**Subchapter:** IV. Programmatic Components

H. Case/ Treatment Plan:

4. A copy of the plan shall be provided to the juvenile and family within 7 calendar days of the juvenile's enrollment into the program.

**COMMENTARY**

**Discussion and Interpretation:**

This grant provision requires that a copy of the initial case/treatment plan to be provided to the juvenile and family within 7 calendar days of the juvenile's enrollment into the program.

The initial case/treatment plan shall serve as a tool that guides the SNDP team, and the juvenile and family through the program. It shall also serve as a resource for the family to assist them as crises arise. Therefore, it is essential that a copy of the initial case/treatment plan be provided to the juvenile and family.

Documentation shall be maintained in the juvenile case file that a copy of the initial case/treatment plan was provided to the juvenile and family within seven calendar days of enrollment into the program.

**Reviewer Guidelines:**

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

1. Prior to the monitoring visit, obtain a random sample listing of juveniles who have been enrolled and active during the current grant period;
2. One day prior to the monitoring visit, request the juvenile probation case files contained in the sample; and
3. On the day of the monitoring visit, request and review the initial case/treatment plan to determine whether a copy was provided to the juvenile and family within seven calendar days from enrollment into the program.

**Verification Documents:**

1. Juvenile probation case file:
  - a. Chronological notes
  - b. Initial case/treatment plan

**METHODOLOGY**

**Compliance Methodology:**

Random Sample. The Commission Research Division shall generate a random sample of juveniles who were enrolled in the program as of 9/01/09 and who are or have been active during the grant period. Each file in the sample shall be reviewed for compliance with the required elements of the grant. The compliance grade for the grant element shall be a percentage of the total possible points based upon the number of files that are in compliance with the grant element. For example, if the reviewer pulls 30 cases and 24 of the cases comply with the grant element, the compliance grade shall be 80 percent of the total points available for the particular grant provision.

**Monitoring Methodology:** Sample %  
**Sample:** 2 Juvenile Case Files  
**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 M - Special Needs Diversionary Program (SNDP) Article IV Section H 4

**Cross Reference(s):**

N/A

**Board Opinion:**

RFI Opinion:

**EFFECTIVE DATES**

**Grant's Effective Date:** 9/1/2009  
**CRM Last Modified On:** 9/1/2003

**PRE-MONITORING PREPARATION**

**Program Tour:** False

**Policy and Procedure:** False

**Pre-Monitoring Checklist:** True

**Pre-Monitoring Preparation Checklist:**

1. Please provide the case files for the following juveniles:

**Reviewer Preparation Checklist Required:**

True

**Reviewer Preparation Checklist:**

1. Prior to the monitoring visit, obtain a random sample listing of 30% or 30 (whichever is the smallest number) but no less than 10 cases of juveniles who have been enrolled as of 9/01/09 and who are or have been active during the current grant period. Place the random sample listing in the Reviewer Workbook.

**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



# Grant M - Special Needs Diversionary Program (SNDP)

## Section IV

Effective date 9/1/2009

Latest Revision 03/01/2010

### TEXT OF STANDARD

**Subchapter:** IV. Programmatic Components

H. Case Plan/Treatment Plan.

5. The core team shall formally review and update case/treatment plans monthly with the juvenile and family and a copy shall be provided to the family within 7 calendar days from the date of completion of the review.

### COMMENTARY

**Discussion and Interpretation:**

This grant provision requires that the case/treatment plan be reviewed and updated with the juvenile, family and core team on a monthly basis.

The monthly case/treatment plan reviews shall work as stand-alone documents in that all goals and services offered shall be clearly defined and the person or party responsible for achieving those goals shall be identified. The goals and interventions identified in the reviews shall be measurable, achievable and written in a language that is familiar to the juvenile and family. No more than 30 days shall lapse between case plan reviews. The juvenile and family's progress on the goals and interventions identified within the initial plan shall be discussed and new goals and interventions identified as new needs arise. The juvenile and family's input shall be included regarding assessment of progress, the identification of new problem areas and potential solutions. Case/treatment plan reviews shall emphasize and build on the juvenile and family's strengths and support systems.

The case plan review process shall occur with the core team formally reviewing and updating the case/treatment plans with the juvenile and family. A copy of the case plan shall be provided to the family within 7 calendar days from the date of completion of the review.

Compliance with this grant provision will be determined by reviewing the goals and interventions contained within the case/treatment plan review(s) and comparing them to the documentation of services contained within the case files/chronologicals.

The implementation and provision of services as identified in the juvenile's case/treatment plan review(s) shall be documented by the SNDP officer in the juvenile's case files.

**Reviewer Guidelines:**

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

1. Prior to the monitoring visit, obtain a random sample listing of juveniles who have been enrolled and active during the current grant period;
2. One day prior to the monitoring visit, request the juvenile probation case files contained in the sample;
3. On the day of the monitoring visit, select a block sample of two consecutive months for the period beginning 9/01/09;
4. Review the juvenile case/treatment plan to determine whether the case/treatment plan was updated within 30 days;
5. Review documentation to determine if a copy of the case plan review was provided to the juvenile and family within (7) calendar days; and
6. Review case file documentation to determine if the elements of the case plan review were implemented by the SNDP officer.

**Verification Documents:**

1. Juvenile probation case file:
  - a. Chronological notes
  - b. Case/Treatment plan review(s)

### METHODOLOGY

**Compliance Methodology:**

Random Sample. The Commission Research Division shall generate a random sample of juveniles who were enrolled in the program as of 9/01/09 and who are or have been active during the grant period. Each file in the sample shall be reviewed for compliance with the required elements of the grant. The compliance grade for the grant element shall be a percentage of the total possible points based upon the number of files that are in compliance with the grant element. For example, if the reviewer pulls 30 cases and 24 of the cases comply with the grant element, the compliance grade shall be 80 percent of the total points available for the particular grant provision.

**Monitoring Methodology:** Sample %  
**Sample:** 2 Juvenile Case Files  
**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 M - Special Needs Diversionary Program (SNDP) Article IV Section H 5

**Cross Reference(s):**

N/A

**Board Opinion:**

RFI Opinion:

### EFFECTIVE DATES

**Grant's Effective Date:** 9/1/2009  
**CRM Last Modified On:** 9/1/2003

### PRE-MONITORING PREPARATION

**Program Tour:** False

**Policy and Procedure:** False

**Pre-Monitoring Checklist:** True

**Pre-Monitoring Preparation Checklist:**

1. Please provide the case files for the following juveniles:

**Grant M - Special Needs Diversionary Program (SNDP)**

Section IV

Effective date 9/1/2009

Latest Revision 03/01/2010

**Reviewer Preparation Checklist Required:** True**Reviewer Preparation Checklist:**

1. Prior to the monitoring visit, obtain a random sample listing of 30% or 30 (whichever is the smallest number) but no less than 10 cases of juveniles who have been enrolled as of 9/01/09 and who are or have been active during the current grant period. Place the random sample listing in the Reviewer Workbook.

**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**Grant M - Special Needs Diversionary Program (SNDP)**



# Grant M - Special Needs Diversionary Program (SNDP)

## Section IV

Effective date 9/1/2009

Latest Revision 03/01/2010

### TEXT OF STANDARD

**Subchapter:** IV. Programmatic Components

H. Case/Treatment Plan;

6. Transition planning shall be incorporated by the core team into the juvenile's monthly case/treatment plan review at least 30 days prior to the juvenile's discharge from the program.

### COMMENTARY

**Discussion and Interpretation:**

Transition planning is a process. The purpose of transition planning is to identify needs of the juvenile and family beyond the period of enrollment in the SNDP, to identify the support systems and resources required to meet those ongoing needs, and to link the juvenile and family to support systems and resources identified. The output or product of the transition planning process is a written discharge/aftercare plan. Therefore, the transition plan shall include specific goals and interventions for the juvenile and their family that will result in the juvenile and family successfully transitioning from the SNDP. Additionally, the transition plan shall include specific and appropriate linkages to community resources and/or service providers. The reviewer will determine whether appropriate resources and/or service providers were identified by comparing the juvenile's diagnosis, family dynamic, and other key familial issues identified within the case plan file documentation with the goals and needs for services identified in the transition plan.

**Reviewer Guidelines:**

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

1. Prior to the monitoring visit, obtain a random sample listing of juveniles who have been enrolled and active during the current grant period;
2. One day prior to the monitoring visit, request the juvenile probation case files contained in the sample; and
3. On the day of the monitoring visit, request and review the juvenile case files for juveniles completing the program or who are within 30 days of exiting the program to determine whether transition planning was incorporated into the juvenile's monthly case/treatment plan review at least 30 days prior to the juvenile's discharge from the program.

**Verification Documents:**

1. Juvenile probation case file:
  - a. Chronological notes
  - b. Case/Treatment plan review(s)
  - c. Transition plan

### METHODOLOGY

**Compliance Methodology:**

Random Sample. The Commission Research Division shall generate a random sample of juveniles who were enrolled in the program as of 9/01/09 and who are or have been active during the grant period. Each file in the sample shall be reviewed for compliance with the required elements of the grant. The compliance grade for the grant element shall be a percentage of the total possible points based upon the number of files that are in compliance with the grant element. For example, if the reviewer pulls 30 cases and 24 of the cases comply with the grant element, the compliance grade shall be 80 percent of the total points available for the particular grant provision.

**Monitoring Methodology:** Sample %  
**Sample:** 2 Juvenile Case Files  
**Point Value:** 10  
**Total Points Possible:** 20  
**Scoring Methodology:** 0 - 10  
**Level:** Level 2 - Provision of Services

### REFERENCE MATERIAL

**Recommended Best Practices:**

It is recommended that transition planning begin at the time of the juvenile's enrollment into the SNDP. The plan for transition may be incorporated as part of the initial case/treatment plan and/or the case/treatment plan review(s). Some questions the team should consider when developing the transition plan are:

- a. Where will the juvenile/family be going?
- b. Will they need secondary help?
- c. Where will the supports be provided?
- d. How will the family maintain the plan?
- e. How will the juvenile and family meet their medical care needs?
- f. What specific community agencies can help?
- g. Provide addresses, phone numbers and names of contact persons for specific identified services.

**Sample Form(s):**  
N/A

**Citation(s):**  
Grant M - Special Needs Diversionary Program (SNDP) Article IV Section H 6

**Cross Reference(s):**  
N/A

**Board Opinion:**  
**RFI Opinion:**

### EFFECTIVE DATES

**Grant's Effective Date:** 9/1/2009  
**CRM Last Modified On:** 9/1/2003

### PRE-MONITORING PREPARATION

**Program Tour:** False

**Policy and Procedure:** False

**Pre-Monitoring Checklist:** True

**Pre-Monitoring Preparation Checklist:**  
 1. Please provide the case files for the following juveniles:

**Reviewer Preparation Checklist Required:**  
True

**Grant M - Special Needs Diversionary Program (SNDP)**

Section IV

Effective date 9/1/2009

Latest Revision 03/01/2010

**Reviewer Preparation Checklist:**

1. Prior to the monitoring visit, obtain a random sample listing of 30% or 30 (whichever is the smallest number) but no less than 10 cases of juveniles who have been enrolled as of 9/01/09 and who are or have been active during the current grant period. Place the random sample listing in the Reviewer Workbook.

**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



**Grant M - Special Needs Diversionary Program (SNDP)****Section IV**

Effective date 9/1/2009

Latest Revision 03/01/2010

**TEXT OF STANDARD****Subchapter:** IV. Programmatic Components

1. Discharge/Aftercare Plan. The core team shall complete a written discharge/aftercare plan with the juvenile and family on the day of the juvenile's discharge from the program and shall:

1. Outline the ongoing support systems and resources for the family;
2. Identify required services and linkages to appropriate resources; and
3. Provide the juvenile and family a copy of the discharge/aftercare plan signed by the core team.

**COMMENTARY****Discussion and Interpretation:**

This grant provision requires the core team with input from the juvenile and family to develop a discharge/aftercare plan that outlines support systems and resources for the juvenile and family, and identifies community services and linkage to resources. The discharge/aftercare plan is required to be completed prior to or at the time of discharge from the SNDP.

**Ongoing Supports, and Services and Appropriate Resources**

The core team is required to provide the juvenile and family a copy of the discharge/aftercare plan signed by the core team on the day of the juvenile's discharge from the program. The signatures and dates on the discharge/aftercare plan will be used to determine compliance with this provision.

For example, juvenile Y was discharged from the SNDP on the fourth of April. The core team, juvenile, and family shall each sign and date the discharge/aftercare plan on the fourth of April to comply with this grant provision. If any party is unable to sign the discharge/aftercare plan, documentation of attempted effort and the reason why they are unable to sign shall be contained in the case file documentation to satisfy this grant provision.

The reviewer will determine whether appropriate resources and/or service providers were identified by comparing the juvenile's diagnosis, family dynamic, and other key familial issues identified within the case file documentation with the goals and interventions identified in the Discharge/Aftercare plan.

For example, juvenile Y received chemical dependency counseling while enrolled in the SNDP. It would be appropriate to link juvenile Y to an ongoing substance abuse support group upon the juvenile's discharge from the program. The substance abuse support group would be identified on the discharge/aftercare plan in order for juvenile Y's case to be compliant with this grant provision.

**Reviewer Guidelines:**

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

1. Prior to the monitoring visit, obtain a random sample listing of juveniles who have been enrolled and active during the current grant period;
2. One day prior to the monitoring visit, request the juvenile probation case files contained in the sample;
3. On the day of the monitoring visit, request and review the case files of juveniles in the sample who have exited the SNDP successfully to determine if a discharge/aftercare plan was completed by the core team, juvenile and family at the time of discharge from the program;
4. Review the discharge/aftercare plan to determine whether it outlines the ongoing support systems and resources for the family and that it identifies the required services and linkages to appropriate resources; and
5. Review the discharge/aftercare plan to determine whether a copy of the discharge/aftercare plan was

provided to the juvenile and/or family at the time of discharge from SNDP.

**Verification Documents:**

1. Juvenile probation case file:
  - a. Discharge/aftercare plan
  - b. Chronological notes

**METHODOLOGY****Compliance Methodology:**

Random Sample. The Commission Research Division shall generate a random sample of juveniles who were enrolled in the program as of 9/01/09 and who are or have been active during the grant period. Each file in the sample shall be reviewed for compliance with the required elements of the grant. The compliance grade for the grant element shall be a percentage of the total possible points based upon the number of files that are in compliance with the grant element. For example, if the reviewer pulls 30 cases and 24 of the cases comply with the grant element, the compliance grade shall be 80 percent of the total points available for the particular grant provision.

**Monitoring Methodology:** Sample %  
**Sample:** 2 Juvenile Case Files  
**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):****Citation(s):**

Grant M - Special Needs Diversionary Program (SNDP) Article IV Section I

**Cross Reference(s):**

N/A

**Board Opinion:**

RFI Opinion:

**EFFECTIVE DATES**

**Grant's Effective Date:** 9/1/2009  
**CRM Last Modified On:** 9/1/2003

**PRE-MONITORING PREPARATION**

**Program Tour:** False

**Grant M - Special Needs Diversionary Program (SNDP)**

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Effective date 9/1/2009

Latest Revision 03/01/2010

**Policy and Procedure:** False**Pre-Monitoring Checklist:** True**Pre-Monitoring Preparation Checklist:**

1. Please provide the case files for the following juveniles:

**Reviewer Preparation Checklist Required:** True**Reviewer Preparation Checklist:**

1. Prior to the monitoring visit, obtain a random sample listing of 30% or 30 (whichever is the smallest number) but no less than 10 cases of juveniles who have been enrolled as of 9/01/09 and who are or have been active during the current grant period. Place the random sample listing in the Reviewer Workbook.

**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



**Grant M - Special Needs Diversionary Program (SNDP)**

**Section V**

Effective date 9/1/2009

Latest Revision 03/01/2010

**TEXT OF STANDARD**

**Subchapter:** V. Programmatic Reporting

A. Annual Reports. See General Grant Requirements.

B. Quarterly Reports. None

C. Monthly Reports. Accurate program data shall be submitted by the Grantee using the Commission's Special Needs Diversionary Program (TCOMI) Internet database. The data are due to the Commission by the 10th of each month for the previous month's program/contact activities.

1. Participant Record. The participant record shall be completed for all juveniles screened for eligibility for the program and should reflect the information contained on the clinical assessment in the case file documentation.

2. Monthly Special Needs Contact Log. The log shall accurately reflect all contacts completed for each youth participating in the SNDP.

D. Other Periodic Reports. See General Grant Requirements.

**COMMENTARY**

**Discussion and Interpretation:**

This grant provision requires that accurate program data be submitted to the Commission's Special Needs Diversionary Program (SNDP) internet data base by the 10th of each month for the previous month's program/contact activities. Data collected on juveniles screened and enrolled in the SNDP will be used to determine the effectiveness of the program and the extent of the need for mental health services among the juvenile probation population in Texas.

**Accuracy**

All data inputted to the Commission's Internet tracking database shall be accurate information regarding the juveniles screened and/or enrolled in the SNDP. To determine compliance with this grant provision the reviewer will compare the information entered by the Grantee in the Commission's internet tracking database with the information contained within the juvenile's probation case file.

The SNDP internet database is a live database and should be updated as a juvenile's active status changes within the program.

**Reviewer Guidelines:**

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

1. Prior to the monitoring visit, obtain a random sample listing of juveniles who have been enrolled and active during the current grant period;
2. Prior to the monitoring visit, print out a copy of the tracking information from the Commission's SNDP internet tracking database for each juvenile case pulled in the sample;
3. One day prior to the monitoring visit, request the juvenile probation case files contained in the sample; and
4. On the day of the monitoring visit, request and review the juvenile probation case file to compare it to the data entered in the Commission's internet database to determine whether the information is accurate with the documentation contained in the juvenile probation case file.

**Verification Documents:**

1. Juvenile probation case file:
  - a. Chronological notes
  - b. Clinical assessment
  - c. TJPC internet tracking database

**METHODOLOGY**

**Compliance Methodology:**

Random Sample. The Commission Research Division shall generate a random sample of juveniles who were enrolled in the program as of 9/01/09 and who are or have been active during the grant period. Each file in the sample shall be reviewed for compliance with the required elements of the grant. The compliance grade for the grant element shall be a percentage of the total possible points based upon the number of files that are in compliance with the grant element. For example, if the reviewer pulls 30 cases and 24 of the cases comply with the grant element, the compliance grade shall be 80 percent of the total points available for the particular grant provision.

**Monitoring Methodology:** Sample %  
**Sample:** 2 Juvenile Case Files  
**Point Value:** 10  
**Total Points Possible:** 10  
**Scoring Methodology:** 0 or 10  
**Level:** Level 1 - Administrative

**REFERENCE MATERIAL**

**Recommended Best Practices:**

N/A

**Sample Form(s):**

**Citation(s):**  
 Grant M - Special Needs Diversionary Program (SNDP) Article V Section A-D

**Cross Reference(s):**  
 N/A

**Board Opinion:**  
**RFI Opinion:**

**EFFECTIVE DATES**

**Grant's Effective Date:** 9/1/2009  
**CRM Last Modified On:** 9/1/2003

**PRE-MONITORING PREPARATION**

**Program Tour:** False

**Policy and Procedure:** False

**Pre-Monitoring Checklist:** True

**Pre-Monitoring Preparation Checklist:**  
 1. Please provide the case files for the following juveniles:

**Reviewer Preparation Checklist Required:**  
 True

**Grant M - Special Needs Diversionary Program (SNDP)****Section V**

Effective date 9/1/2009

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**Reviewer Preparation Checklist:**

1. Prior to the monitoring visit, obtain a random sample listing of 30% or 30 (whichever is the smallest number) but no less than 10 cases of juveniles who have been enrolled as of 9/01/09 and who are or have been active during the current grant period. Place the random sample listing in the Reviewer Workbook.

**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



**Grant M - Special Needs Diversionary Program (SNDP)**

**Section VI**

Effective date 9/1/2009

Latest Revision 03/01/2010

**TEXT OF STANDARD**

**Subchapter:** VI. Programmatic Monitoring

A. On-Site Monitoring. 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 M - Special Needs Diversionary Program (SNDP) Article VI Section A-D

**Cross Reference(s):**

N/A

**Board Opinion:**

**RFI Opinion:**

**EFFECTIVE DATES**

**Grant's Effective Date:** 9/1/2009  
**CRM Last Modified On:** 9/1/2003

**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



**Grant M - Special Needs Diversionary Program (SNDP)**

**Section VII**

Effective date 9/1/2009

Latest Revision 03/01/2010

**TEXT OF STANDARD**

**Subchapter:** VII. Applicable Law

A. Applicable Standards.

- 1. Texas Administrative Code (TAC) Title 37 Public Safety and Corrections.
  - a. Chapter 341 – Texas Juvenile Probation Commission.
  - b. Chapter 349 – General Administrative Standards.

B. General Statutes.

- 1. Federal Law. See General Grant Requirements.
- 2. State Law.
  - a. General Appropriations Act, H.B. 1, R.S., 78th Legislature, 2003, Article V.

C. Policy.

- 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 M - Special Needs Diversionary Program (SNDP) Article VII Section A-C

**Cross Reference(s):**

N/A

**Board Opinion:**

**RFI Opinion:**

**EFFECTIVE DATES**

**Grant's Effective Date:** 9/1/2009

**CRM Last Modified On:** 9/1/2003

**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. See Also General Grant Requirements.

1. Grant funds shall be used for the sole purpose of funding the salaries, fringe benefits, supplies, training and travel costs of the full-time certified juvenile probation officer(s) authorized under the State Financial Assistance Contract.

B. Unallowable Expenditure of Funds. All expenditures other than those listed in Section VIII (A) are unallowable.

**COMMENTARY****Discussion and Interpretation:**

Article VIII addresses the allowable and unallowable expenditure of funds received under this grant. Payments shall be made in accordance with the 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](http://www.tjpc.state.tx.us). If any expenditure fails to meet these requirements, the Grantee will be in noncompliance with the grant provisions. Allowable expenditures under this grant fall into the staff services category discussed below:

**Staff Services**

The staff services category shall only include those expenditures that are directly associated with the specialized officer(s) positions funded by the grant and may include, but is not limited to, the following:

1. Salaries and fringe benefits;
2. Travel for official business of the specialized juvenile probation officer(s);
3. Training for the specialized juvenile probation officer(s); and
4. Operating expenses for the specialized juvenile probation officer(s).

**Financial Documentation**

The Grantee shall maintain complete and accurate accounting records for each expenditure paid with funding from this grant. The accounting records shall include all supporting documentation substantiating an expenditure. The types of documentation that support an expenditure include, 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 the expenditure guidelines in General Grant Requirements - All TJPC Grants found on the Commission's website at [www.tjpc.state.tx.us](http://www.tjpc.state.tx.us)

Example: The reviewer is looking at an expenditure document for a probation officer's meal and mileage for transportation of a juvenile to detention. Supporting documentation may include beginning and ending mileage to substantiate the total miles reimbursed and/or electronic verification of mileage from the departure address to the destination. Meal reimbursement documentation shall include actual receipts for meals or a predetermined amount indicated by a county or department per diem policy.

**Expenditure Detail Report**

To determine compliance with this grant provision, the Commission will request an expenditure detail report. This report lists all of the transactions of the Grantee for the applicable grants 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 expenditure detail report can normally be obtained from the county auditor or county treasurer.

**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 is 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. General ledger
2. Chart of accounts
3. Expenditure detail report

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- 4. Payment voucher
- 5. Supporting documentation:
  - a. Requisition/purchase order
  - b. Invoice/billing instrument
  - c. Receipts and/or packing slip
  - d. Other acceptable documentation
- 6. External documentation:
  - a. Bank statements, cancelled checks, EFT transaction; and
  - b. Other acceptable documentation

- 2. Expenditure authorization is received prior to any purchase order request and payment;
  - 3. Accounting system users are identifiable and limited;
  - 4. A verification practice is in place to prevent double payment;
    - a. Match purchase order to invoice; and
    - b. Stamp invoices paid with date of payment
- Procedures to ensure accurate accounting for funds when received and expended should include, but are not limited to, the following:
- 1. Review the grants and expenditure guidelines;
  - 2. Monitor a budget and predetermined expenditure plan;
  - 3. Verify the service, supplies or non capitalized equipment is necessary for the purpose of the grant; and
  - 4. Ensure account coding is correctly applied to expenditures throughout the grant period

**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:** 8 Sample M: Expenditure Records  
**Point Value:** 10  
**Total Points Possible:** 30  
**Scoring Methodology:** 0 - 10  
**Level:** Level 3 - Critical

**Sample Form(s):**

- 1. Annual Budget Application
- 2. Expenditure Guidelines in General Grant Requirements - All TJPC Grants (TJPC-GRANTS-2)

**Citation(s):**

Grant M - Special Needs Diversionary Program (SNDP) Article VIII Section A-B

**Cross Reference(s):**

N/A

**Board Opinion:**  
**RFI Opinion:**

**EFFECTIVE DATES**

**Grant's Effective Date:** 9/1/2009  
**CRM Last Modified On:** 9/1/2003

**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 month shall be provided to the reviewer on the day of the monitoring visit.

**Reviewer Preparation Checklist Required:**  
 True

**REFERENCE MATERIAL**

**Recommended Best Practices:**

The Grantee should maintain complete financial policies and procedures for the juvenile probation department and any programs and services provided under the authority of the Grantee. Generally, the Grantee's policies and procedures should follow those of the designated lead county if in a multi county jurisdiction and these guidelines should include:

- 1. The safeguarding of funds; and
- 2. The accurate accounting for funds when they are received and expended.

Provisions for safeguarding grant funds should include, but are not limited to, the following:

- 1. Separation of duties related to receipt, expenditure, adjustment, and transfer of grant funds:
  - a. Transactions are documented and/or executed by personnel with different job duties; and
  - b. Transactions are reconciled by someone who did not perform them.

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**Reviewer Preparation Checklist:**

1. Prior to the monitoring visit, request a system generated expenditure detail report for this grant for the grant period reviewed.

**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



**Grant M - Special Needs Diversionary Program (SNDP)**

**Section VIII**

Effective date 9/1/2009

Latest Revision 03/01/2010

**TEXT OF STANDARD**

**Subchapter:** VIII Financial Components  
C. Financial Match Requirements. None.

**COMMENTARY**

**Discussion and Interpretation:**

There is no required financial match requirement 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 M - Special Needs Diversionary Program (SNDP) Article VIII Section C

**Cross Reference(s):**

N/A

**Board Opinion:**

**RFI Opinion:**

**EFFECTIVE DATES**

**Grant's Effective Date:** 9/1/2009

**CRM Last Modified On:** 9/1/2003

**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



**Grant M - Special Needs Diversionary Program (SNDP)**

**Section VIII**

Effective date 9/1/2009

Latest Revision 03/01/2010

**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 under the funding adjustments of General Grants and is discussed in detail there.

**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 M - Special Needs Diversionary Program (SNDP) Article VIII Section D

**Cross Reference(s):**

N/A

**Board Opinion:**

**RFI Opinion:**

**EFFECTIVE DATES**

**Grant's Effective Date:** 9/1/2009  
**CRM Last Modified On:** 9/1/2003

**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



**Grant M - Special Needs Diversionary Program (SNDP)**

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Effective date 9/1/2009

Latest Revision 03/01/2010

**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.

**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 M - Special Needs Diversionary Program (SNDP) Article VIII Section E

**Cross Reference(s):**

N/A

**Board Opinion:**

**RFI Opinion:**

**EFFECTIVE DATES**

**Grant's Effective Date:** 9/1/2009

**CRM Last Modified On:** 9/1/2003

**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:** 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.

**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 M - Special Needs Diversionary Program (SNDP) Article VIII Section F

**Cross Reference(s):**

N/A

**Board Opinion:**

**RFI Opinion:**

**EFFECTIVE DATES**

**Grant's Effective Date:** 9/1/2009

**CRM Last Modified On:** 9/1/2003

**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



**Grant M - Special Needs Diversionary Program (SNDP)**

**Section VIII**

Effective date 9/1/2009

Latest Revision 03/01/2010

**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 M - Special Needs Diversionary Program (SNDP) Article VIII Section G

**Cross Reference(s):**  
 N/A

**Board Opinion:**  
**RFI Opinion:**

**EFFECTIVE DATES**

**Grant's Effective Date:** 9/1/2009  
**CRM Last Modified On:** 9/1/2003

**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



**Grant M - Special Needs Diversionary Program (SNDP)**

**Section VIII**

Effective date 9/1/2009

Latest Revision 03/01/2010

**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 M - Special Needs Diversionary Program (SNDP) Article VIII Section H

**Cross Reference(s):**

N/A

**Board Opinion:**

**RFI Opinion:**

**EFFECTIVE DATES**

**Grant's Effective Date:** 9/1/2009

**CRM Last Modified On:** 9/1/2003

**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 shall be submitted electronically as specified by the Commission.

## COMMENTARY

**Discussion and Interpretation:**

This grant requires one annual report which is the Annual Budget Application. 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 also a spreadsheet 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 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 forms, may be downloaded from the Commission's website at [www.tjpc.state.tx.us](http://www.tjpc.state.tx.us).

**Reviewer Guidelines:**

To determine compliance with this grant provision, the reviewer shall:

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 Designated Key Personnel Spreadsheet;
3. Compare and verify grant totals identified in the contract to the budget summary worksheets for consistency;
4. Compare all budget worksheets to the submitted Proposal 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;
  - a. Examine the supporting documentation under the staff services budget category to verify that there is an adequate description of the salaries, fringe benefits, supplies, training and travel to be paid for with grant funds;
6. Complete the Budget Reasonableness Analysis form. The reviewer shall:
  - a. Compare the total budget request amounts for the staff services category which includes salaries, travel and operating expenses to the previous two years' expenditures if applicable;
  - b. Compare non-residential services budget to the previous two years' unit cost; and
  - c. Compare the residential services budget are compared to the previous two years' cost; and
7. 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
3. Juvenile Board Resolution
4. Request for Proposal
5. State Financial Assistance Contract

## METHODOLOGY

**Compliance Methodology:**

N/A

**Monitoring Methodology:** Yes/No

Sample: N/A

Point Value: 10

Total Points Possible: 30

Scoring Methodology: N/A

Level: Level 0 - Not Monitorable

## REFERENCE MATERIAL

**Recommended Best Practices:**

N/A

**Sample Form(s):**

N/A

**Citation(s):**

Grant M - Special Needs Diversionary Program (SNDP) Article IX Section A

**Cross Reference(s):**

N/A

**Board Opinion:**

RFI Opinion:

**Grant M - Special Needs Diversionary Program (SNDP)**

Section IX

Effective date 9/1/2009

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**EFFECTIVE DATES**

**Grant's Effective Date:** 9/1/2009  
**CRM Last Modified On:** 9/1/2003

**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

B. Quarterly Reports. The Grantee shall report the expenditure of all funds received through this grant on the Quarterly Expenditure Report. 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 the Quarterly Expenditure Reports are not received by the due date.

## COMMENTARY

**Discussion and Interpretation:**

Quarterly expenditure reports are generated for all grants 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 concerns during the fiscal year such as unfilled positions and funds not being utilized for juvenile programs and services. 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 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 the contract 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).

**Reviewer Guidelines:**

To determine compliance with this grant provision, the reviewer shall:

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.

**Verification Documents:**

1. Quarterly Expenditure Reports

## 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:** N/A

**Level:** Level 0 - Not Monitorable

## REFERENCE MATERIAL

**Recommended Best Practices:**

N/A

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**Section IX**

Effective date 9/1/2009

Latest Revision 03/01/2010

**Sample Form(s):**  
Quarterly Expenditure Report

**Citation(s):**  
Grant M - Special Needs Diversionary Program (SNDP) Article IX Section B

**Cross Reference(s):**  
N/A

**Board Opinion:**  
**RFI Opinion:**

**EFFECTIVE DATES**

**Grant's Effective Date:** 9/1/2009  
**CRM Last Modified On:** 9/1/2003

**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



**Grant M - Special Needs Diversionary Program (SNDP)**

**Section IX**

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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 M - Special Needs Diversionary Program (SNDP) Article IX Section C  
**Cross Reference(s):**  
N/A  
**Board Opinion:**  
**RFI Opinion:**

**EFFECTIVE DATES**

**Grant's Effective Date:** 9/1/2009  
**CRM Last Modified On:** 9/1/2003

**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 every modification of the budget. The Budget Adjustment Request form is utilized as a mechanism to transfer funds from one budget category to another budget category. All budget adjustments shall be pre-approved by the Commission. All budget adjustments shall also be pre-approved by the contract administrator overseeing the grant for the Commission. The Budget Adjustment Request form can be found on the Commission's website at [www.tjpc.state.tx.us](http://www.tjpc.state.tx.us). The budget adjustment will be monitored by the Commission's contract administrator assigned to this grant to determine whether funds were expended in the manner authorized. If the Grantee received and expended a budget adjustment during the grant period, but prior to the monitoring visit, on the day of the monitoring visit the reviewer shall request and review documentation to verify that the budget adjustment was expended in the manner authorized by the program specialist. If the Grantee received a budget adjustment during the grant period, but expended it after the monitoring visit, the reviewer shall request documentation be sent to the Commission on how the budget adjustment grant funds were expended. Once the documentation has been received by the Commission, the reviewer shall review the documentation submitted to determine whether the budget adjustment grant funds were expended in the manner authorized by the contract administrator. 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 the designee. The following information shall be completed by the chief juvenile probation officer, fiscal officer or 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; and

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

1. Examine the county's name, grant name, fiscal year and authorized signature for accuracy and authenticity of the Grantee's signature;
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;
6. Compare the amended budget submitted on the budget adjustment request form to the Commission's financial system; and
7. Secure the approval of the budget adjustment from the Commission's program specialist assigned to this grant. If the Grantee received and expended a budget adjustment during the grant period, but prior to the monitoring visit, on the day of the monitoring visit the reviewer will:

1. Request and review documentation to verify that the budget adjustment was expended in the manner authorized by the program specialist assigned to this grant. If the Grantee received a budget adjustment during the grant period, but expended it after the monitoring visit, the reviewer will:

1. Request documentation be sent to the Commission detailing how the budget adjustment grant funds were expended; and
2. Review the documentation submitted to determine whether the budget adjustment grant funds were expended in the manner authorized by the program specialist assigned to this grant. Verification Documents:

1. Budget Adjustment Request Form
2. Expenditure Documentation

**Reviewer Guidelines:**

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

1. Examine the county's name, grant name, fiscal year and authorized signature for accuracy and authenticity of the Grantee's signature;
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;
6. Compare the amended budget submitted on the budget adjustment request form to the Commission's financial system; and
7. Secure the approval of the budget adjustment from the Commission's program specialist assigned to this grant.

If the Grantee received and expended a budget adjustment during the grant period, but prior to the monitoring visit, on the day of the monitoring visit the reviewer will:

1. Request and review documentation to verify that the budget adjustment was expended in

**Grant M - Special Needs Diversionary Program (SNDP)**

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the manner authorized by the program specialist assigned to this grant.

If the Grantee received a budget adjustment during the grant period, but expended it after the monitoring visit, the reviewer will:

1. Request documentation be sent to the Commission detailing how the budget adjustment grant funds were expended; and
2. Review the documentation submitted to determine whether the budget adjustment grant funds were expended in the manner authorized by the program specialist assigned to this grant.

**Verification Documents:**

1. Budget Adjustment Request Form
2. Expenditure Documentation

**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:** 10

**Scoring Methodology:** N/A

**Level:** Level 0 - Not Monitorable

**REFERENCE MATERIAL**

**Recommended Best Practices:**

N/A

**Sample Form(s):**

N/A

**Citation(s):**

Grant M - Special Needs Diversionary Program (SNDP) Article IX Section D

**Cross Reference(s):**

N/A

**Board Opinion:**

RFI Opinion:

**EFFECTIVE DATES**

**Grant's Effective Date:** 9/1/2009

**CRM Last Modified On:** 9/1/2003

**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



**Grant M - Special Needs Diversionary Program (SNDP)**

**Section X**

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**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 M - Special Needs Diversionary Program (SNDP) Article X Section A-B

**Cross Reference(s):**

N/A

**Board Opinion:**

**RFI Opinion:**

**EFFECTIVE DATES**

**Grant's Effective Date:** 9/1/2009

**CRM Last Modified On:** 9/1/2003

**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

