

C - Commitment Reduction Program

Section I

Effective date 9/1/2011 - 8/31/2013

Latest Revision 10/28/2011

TEXT OF STANDARD

Subchapter: I. Grant Description

A. The purpose of the Commitment Reduction Program grant is to provide an array of rehabilitation services for juvenile offenders, including, but not limited to, community-based, residential, transition and aftercare programs or services. The programs are intended to divert appropriate youth from the Texas Youth Commission (TYC) to suitable programs and services in local communities.

COMMENTARY

Discussion and Interpretation:

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

Reviewer Guidelines:

N/A

Verification Documents:

N/A

METHODOLOGY

Compliance Methodology:

N/A

Monitoring Methodology: N/A

Sample: N/A

Point Value: 0

Total Points Possible: 0

Scoring Methodology: N/A

Level: Level 0 - Not Monitorable

REFERENCE MATERIAL

Recommended Best Practices:

N/A

Sample Form(s):

N/A

Citation(s):

Grant C - Commitment Reduction Program Article I Section A

Texas Register Publication Citation:

N/A

Cross Reference(s):

N/A

Board Opinion:

RFI Opinion:

EFFECTIVE DATES

Grant's Effective Date: 9/1/2011 - 8/31/2013

CRM Last Modified On: 1/14/2011

PRE-MONITORING PREPARATION

Program Tour: False

Policy and Procedure: False

Pre-Monitoring Checklist: False

Pre-Monitoring Preparation Checklist:

N/A

Reviewer Preparation Checklist Required:

False

Reviewer Preparation Checklist:

N/A

INTERVIEW QUESTIONS MAY BE ADMINISTERED TO THE FOLLOWING:

Chief Administrative Officer: False

Professional Staff: False

Program/Facility Administrator:

Juvenile Board Chair: False

Ancillary Staff: False

Juvenile: False

C - Commitment Reduction Program

C - Commitment Reduction Program

Section II

Effective date 9/1/2011 - 8/31/2013

Latest Revision 10/28/2011

TEXT OF STANDARD

Subchapter: II. Grant Specific Definitions

A. Eligible Population. Juveniles who have been referred to the probation department and who are on deferred prosecution or court-ordered probation.

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

REFERENCE MATERIAL

Recommended Best Practices:

N/A

Sample Form(s):

N/A

Citation(s):

Grant C - Commitment Reduction Program Article II Sections A

Texas Register Publication Citation:

Cross Reference(s):

N/A

Board Opinion:

RFI Opinion:

EFFECTIVE DATES

Grant's Effective Date: 9/1/2011 - 8/31/2013

CRM Last Modified On: 1/14/2011

PRE-MONITORING PREPARATION

Program Tour: False

Policy and Procedure: False

Pre-Monitoring Checklist: False

Pre-Monitoring Preparation Checklist:
N/A

Reviewer Preparation Checklist Required:
False

Reviewer Preparation Checklist:
N/A

INTERVIEW QUESTIONS MAY BE ADMINISTERED TO THE FOLLOWING:

Chief Administrative Officer: False

Professional Staff: False

Program/Facility Administrator:

Juvenile Board Chair: False

Ancillary Staff: False

Juvenile: False

C - Commitment Reduction Program**Section III**

Effective date 9/1/2011 - 8/31/2013

Latest Revision 10/28/2011

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

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

B. Program Objective. The objective of the Commitment Reduction Program is to increase the availability of community-based programs, placements and services in an effort to divert appropriate juvenile offenders from commitment to TYC while maintaining community safety.

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

1. Number of juveniles offenders served by the grant funding;
2. Percent of juveniles served completing the program, service or placement;
3. Number of juveniles committed to TYC by the juvenile probation department during the grant period;
4. Number of juveniles ages 10 to 16 certified as adults by the juvenile probation department during the grant period;
5. One, two and three year recidivism rates for all juveniles served in the program, service or placement; and
6. The cost per youth participating in the grant funded program(s), service or placement.

COMMENTARY**Discussion and Interpretation:**

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

Program Performance

Program performance will be assessed using the performance measures outlined in Article III Section C. The Commission will calculate these measures based on data submitted by the Grantee in the monthly extract data submitted through Caseworker or the county's data system and from grant information submitted by the Grantee to the Commission in approved Excel spreadsheets.

The performance measures will be calculated as described below:

1. Performance measure one (1) captures the total number of juveniles served by the grant during each year of the grant period. The total number of juveniles will be captured as well as the number of juveniles receiving each distinct type of service (i.e. program, service, placement, supervision).
2. Performance measure two (2) calculates the percentage of youth that complete the grant funded program, placement or service. The percentage is calculated by dividing the number of youth who complete the grant funded program, service or placement by the total number of youth leaving a program, service or placement funded by the grant.

3. Performance measure three (3) captures the total number of juveniles committed to TYC by the Grantee during each year of the grant period. All juveniles committed for determinate and indeterminate sentences will be included.
4. Performance measure four (4) captures the number of juveniles age 10 to 16 certified as adults by the Grantee's juvenile court during each year of the grant period.
5. Performance measure five (5) calculates the recidivism rate for juveniles served by a grant funded program or placement. The recidivism rate calculates the juvenile's number of subsequent referrals/arrests and incarcerations for misdemeanor B and greater offenses one, two and three years from program entry or placement exit. In order to have complete yearly all juveniles entering the program or exiting a placement in prior years will be used for the calculation.
6. Performance measure six (6) calculates the average cost per youth served by a grant funded program, service or placement. To determine the average cost per juvenile served the total number of juveniles served in a grant funded program, service or placement during the fiscal year will be divided by the Grantee's total expenditure of Commitment Reduction Program grant funds. Averages will also be calculated for each distinct type of grant funded service.

Reviewer Guidelines:

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

1. Review and analyze data submitted by the Grantee in the monthly extract data and grant information submitted to the Commission in Excel format;
2. Calculate the following for each fiscal year of the grant period:
 - a. The number of juveniles served by the grant funding;
 - b. The percent of juveniles completing the grant funded program, service or placement;
 - c. The number of juveniles committed to TYC by the juvenile probation department;
 - d. The number of juveniles age 10 to 16 certified as adults by the juvenile probation department;
 - e. The one, two and three year recidivism rates for juveniles served in a grant funded program, service or placement; and
 - f. The average cost per youth served by the grant.

C - Commitment Reduction Program

C - Commitment Reduction Program

Section III

Verification Documents:

1. Monthly extract data
2. Grant information submitted by the Grantee to the Commission in approved Excel spreadsheets;
3. Quarterly expenditure reports.

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

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:

Sample Form(s):
 N/A

Citation(s):
 Grant C - Commitment Reduction Program Article III Sections A-C

Texas Register Publication Citation:

Cross Reference(s):
 N/A

Board Opinion:
RFI Opinion:

EFFECTIVE DATES

Grant's Effective Date: 9/1/2011 - 8/31/2013
CRM Last Modified On: 1/14/2011

PRE-MONITORING PREPARATION

Program Tour: False

Policy and Procedure: False

Pre-Monitoring Checklist: False

Pre-Monitoring Preparation Checklist:
 N/A

Reviewer Preparation Checklist Required: False

Reviewer Preparation Checklist:
 N/A

INTERVIEW QUESTIONS MAY BE ADMINISTERED TO THE FOLLOWING:

Chief Administrative Officer: False

C - Commitment Reduction Program

C - Commitment Reduction Program

Section IV

Effective date 9/1/2011 - 8/31/2013

Latest Revision 10/28/2011

TEXT OF STANDARD

Subchapter: IV. Programmatic Components

A. Program Requirements. The Grantee shall provide programs and services as detailed in their Commitment Reduction Program Plan as submitted to and approved by the Commission via the Grant Manager System. The Commitment Reduction Program Plan submitted by the Grantee is incorporated by reference into the requirements of this grant. Any changes from the approved Commitment Reduction Program Plan submitted by the Grantee shall be approved by the Commission in writing.

B. Eligibility. Juveniles served under this grant shall meet the definition of eligible population as defined herein.

C. Documentation. Documentation for all programs and services shall be maintained and is subject to review by the Commission during on-sight monitoring visits or upon request and shall include:

1. Date, time and duration of activity;
2. Location of activity;
3. Purpose and goal of activity; and
4. Number of participants.

D. Program Policy and Procedure. The Grantee shall have written policies and procedures governing all programs and services provided under this grant.

E. Licensing and Certification. The Grantee shall ensure that all licensed and/or certified staff maintain a current license and/or certification if the programs and services provided under this grant require professional licensure or certification.

COMMENTARY

Discussion and Interpretation:

This provision details the program requirements for the Commitment Reduction Program Grant (Grant C). Prior to receiving any funding under Grant C, each county or region that receives grant funds is required to submit a detailed plan that addresses each of the areas below in which a recipient proposes to utilize funding under this grant. The Grantee shall complete the Grant C forms via the web-based format provided by TJPC. This plan is reviewed and approved prior to disbursement of funds. The Grantee shall indicate how Grant C funds are intended to be spent:

- New/expanded program
- New/expanded service(s)
- Supervision
- Placement

1. New programs and services that will be added with grant funding:
 - a. Description of new programs and/or services;
 - b. Description of the gap (identified need) the new programs and services will fill;
 - c. Number of juveniles to be served;
 - d. Length of time expected to be served in program or by service; and
 - e. Supporting evidence or documentation that the new program or service has been proven to have positive outcomes.
2. Expansion of existing program(s):
 - a. Description of programs and/or services to be expanded;

b. Description of the gap (identified need) the new programs and services will fill;

c. Number of juveniles to be served;

d. Length of time expected to be served in program or by service; and

e. Supporting evidence or documentation that the program or service has been proven to have positive outcomes.

3. Supervision:

a. Description of supervision or specialized officers;

b. Description of the gap (identified need) the new positions expect to fill;

c. Number of juveniles to be served;

d. Length of time expected to be served; and

e. Supporting evidence or documentation that the increased supervision or specialized officer caseload has been proven to have positive outcomes.

4. Residential (Secure and Non-secure):

a. Description of the types of residential placements to be utilized and the services to be provided;

b. Description of the gap (identified need) the residential placement will fill and the level of services that youth need based upon known behavioral health needs;

c. Number of juveniles to be served;

d. Length of time expected to be served in the residential facility;

e. Supporting evidence or documentation that the residential placement has been proven to have positive outcomes;

f. Description of how the youth's family will be incorporated into the rehabilitative efforts of the youth while placement;

g. Provide the daily cost of care for each juvenile placed in a residential facility; and

h. Description of how the appropriate level of service/treatment for youth with behavioral health needs will be assured.

The Grantee shall ensure that all juveniles targeted for this program have been referred to the probation department and are under supervision (i.e., deferred prosecution or court-ordered probation).

The following documentation for all programs and services shall be maintained and made

C - Commitment Reduction Program

C - Commitment Reduction Program

Section IV

available for review by the Commission during on-site monitoring visits:

1. Date, time and duration of activity;
2. Location of activity;
3. Purpose and goal of activity; and
4. Number of participants.

Written policy and procedure shall be maintained outlining the services and functions of programs administered with funds under Grant C.

The Grantee shall ensure that all licensed and/or certified staff maintain a current license and/or certification if the programs and services provided under this grant require professional licensure or certification.

Reviewer Guidelines:

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

1. Prior to the monitoring visit, review the web-based program plan(s) for this grant to determine the planned utilization of funds;
2. On the day of the monitoring visit, review the program policy and procedures manual governing all programs and services provided under this grant;
3. Compare the web-based program plan(s) submitted to the Commission to actual programs and services the department used under Grant C funding.
4. Review and analyze Grantee's data submitted in the monthly extract to determine eligibility.

Verification Documents:

1. Grant C web-based program plan(s)
2. Monthly extract data

METHODOLOGY

Compliance Methodology:

This grant requirement shall be monitored using a combination of sampling and non-sampling techniques. The non-sampling techniques 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. Sampling techniques may include the use of block samples, systematic samples and/or random samples of pertinent files, records, documents or interviews. 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 using the results of both the sampling and non-sampling methods.

Monitoring Methodology: Yes/No
Sample: N/A
Point Value: 10
Total Points Possible: 20
Scoring Methodology: 0 - 10
Level: Level 2 - Provision of Services

REFERENCE MATERIAL

Recommended Best Practices:

N/A

Sample Form(s):
N/A

Citation(s):
Grant C - Commitment Reduction Program
Article IV Section A-E

Texas Register Publication Citation:

Cross Reference(s):
Texas Human Resources Code, Chapters 141 and 142

Board Opinion:
RFI Opinion:

EFFECTIVE DATES

Grant's Effective Date: 9/1/2011 - 8/31/2013
CRM Last Modified On: 1/14/2011

PRE-MONITORING PREPARATION

Program Tour: False

Policy and Procedure: False

Pre-Monitoring Checklist: False

Pre-Monitoring Preparation Checklist:
N/A

Reviewer Preparation Checklist Required:
False

Reviewer Preparation Checklist:
N/A

INTERVIEW QUESTIONS MAY BE ADMINISTERED TO THE FOLLOWING:

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

C - Commitment Reduction Program

Section V

Effective date 9/1/2011 - 8/31/2013

Latest Revision 10/28/2011

TEXT OF STANDARD

Subchapter: V. Programmatic Reporting

A. Annual Reports.

1. End-of-Year Program Summary Report. The Grantee shall complete an End-of-Year Program Summary in a format specified by the Commission no later than October 1 per fiscal year of the current grant period. This report shall include but is not limited to:

- a. List of program activities or services;
- b. Number of clients served; and
- c. How the programs and services met the overall goals and objectives as detailed in the Commitment Reduction Program Plan.

B. Quarterly Reports. The Grantee shall provide a listing of all juveniles served under this grant. The Grantee shall submit data electronically in a format specified by the Commission no later than January 1, April 1, July 1 and October 1 of the current fiscal year of the biennium, respectively.

C. Monthly Reports. See General Grant Requirements.

D. Other Periodic Reports. See General Grant Requirements.

Other Periodic Reports

This grant has no periodic reporting requirements in addition to those required in the General Grant Requirements. Periodic reports due under General Grant Requirements will be discussed in that section.

Reviewer Guidelines:

N/A

Verification Documents:

N/A

METHODOLOGY

Compliance Methodology:

N/A

Monitoring Methodology: N/A

Sample: N/A

Point Value: 0

Total Points Possible: 0

Scoring Methodology: N/A

Level: Level 0 - Not Monitorable

COMMENTARY

Discussion and Interpretation:

Compliance with this grant provision is not monitored during an on-site monitoring visit but is monitored throughout the term of the grant. This grant has various programmatic reporting requirements that are applicable at different times throughout the grant period. These are discussed below.

Annual Reports

The Grantee shall complete an End-of-Year Program Summary in a format specified by the Commission no later than October 1 each fiscal year of the current grant period. This report shall contain detailed information about the grant funded programs during the grant period and the juveniles served with grant funds.

Quarterly Reports

The Grantee shall provide a listing of all juveniles served under this grant. The Grantee shall submit data electronically in a format specified by the Commission no later than January 1, April 1, July 1 and October 1 of the current fiscal year of the biennium, respectively.

Monthly Reports

The Grantee shall submit monthly extract data to the Commission pursuant to Title 37, Texas Administrative Code, Sections 341.49 and 341.54 in compliance with the Electronic Data Interchange (EDI) standards. Grantee shall submit monthly extract data electronically to the Commission no later than the 10th calendar day of each month following the reporting period.

Compliance with this grant will be monitored by the Research and Statistics Division of the Commission. Monthly extract data shall be submitted on or before the 10th calendar day of each month following the reporting period. After the extract data due date, the Commission will generate the Monthly Folder Extract Availability Report to determine delinquency in reporting. If the Grantee submits the extract data after the 10th calendar day of the month the Grantee shall be considered non-compliant and shall receive a delinquency notice. Failure to submit the monthly extract data within the required timeframe after issuance of the delinquency notice shall result in the issuance of a Non-Compliance Citation Report (NCCR) by the Commission.

REFERENCE MATERIAL

Recommended Best Practices:

N/A

Sample Form(s):

N/A

Citation(s):

Grant C - Commitment Reduction Program
Article V Section A-D

Texas Register Publication Citation:

Cross Reference(s):

37 TAC Section 341.49 - TJPC Monthly Folder Extract

37 TAC Section 341.54 - TJPC Monthly Folder Extract

General Grant Requirements - All Grants
Article V Sections A-D

Board Opinion:

RFI Opinion:

EFFECTIVE DATES

Grant's Effective Date: 9/1/2011 - 8/31/2013
CRM Last Modified On: 1/14/2011

C - Commitment Reduction Program

C - Commitment Reduction Program

Section V

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:

Juvenile Board Chair: False

Ancillary Staff: False

Juvenile: False

C - Commitment Reduction Program

Section VI

Effective date 9/1/2011 - 8/31/2013

Latest Revision 10/28/2011

TEXT OF STANDARD	EFFECTIVE DATES
<p>Subchapter: VI. Programmatic Monitoring</p> <p>A. On-Site Monitoring Visits. See General Grant Requirements.</p> <p>B. Unannounced On-Site Monitoring Visits. See General Grant Requirements.</p> <p>C. Desk Audits. See General Grant Requirements.</p> <p>D. Other. None.</p>	<p>Grant's Effective Date: 9/1/2011 - 8/31/2013 CRM Last Modified On: 1/14/2011</p>
COMMENTARY	PRE-MONITORING PREPARATION
<p>Discussion and Interpretation:</p> <p>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.</p> <p>Reviewer Guidelines:</p> <p>N/A</p> <p>Verification Documents:</p> <p>N/A</p>	<p>Program Tour: False</p> <p>Policy and Procedure: False</p> <p>Pre-Monitoring Checklist: False</p> <p>Pre-Monitoring Preparation Checklist: N/A</p> <p>Reviewer Preparation Checklist Required: False</p> <p>Reviewer Preparation Checklist: N/A</p> <p>INTERVIEW QUESTIONS MAY BE ADMINISTERED TO THE FOLLOWING:</p> <p>Chief Administrative Officer: False Professional Staff: False Program/Facility Administrator: Juvenile Board Chair: False Ancillary Staff: False Juvenile: False</p>
METHODOLOGY	
<p>Compliance Methodology:</p> <p>N/A</p> <p>Monitoring Methodology: N/A Sample: N/A Point Value: 0 Total Points Possible: 0 Scoring Methodology: N/A Level: Level 0 - Not Monitorable</p>	
REFERENCE MATERIAL	
<p>Recommended Best Practices:</p> <p>N/A</p> <p>Sample Form(s): N/A</p> <p>Citation(s): Grant C - Commitment Reduction Program Article VI Sections A-D</p> <p>Texas Register Publication Citation: N/A</p> <p>Cross Reference(s): General Grant Requirements - All Grants Article VI Sections A-D</p> <p>Board Opinion: RFI Opinion:</p>	

C - Commitment Reduction Program

C - Commitment Reduction Program

Section VII

Effective date 9/1/2011 - 8/31/2013

Latest Revision 10/28/2011

TEXT OF STANDARD

Subchapter: VII. Applicable Law, Policy and Procedure

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

- A. Applicable Standards.
 - 1. Texas Administrative Code (TAC) Title 37 Public Safety and Corrections, Chapters 341 – 359.
- B. General Statutes.
 - 1. Federal Law. See General Grant Requirements.
 - 2. State Law. See Also General Grant Requirements.
- A. Code of Criminal Procedure.
 - i. Chapter 62 – Sex Offender Registration Program.
- B. Texas Family Code, Title III, Juvenile Justice Code.
 - i. Chapter 59 – Progressive Sanctions Model.
- C. Texas General Appropriations Act.
- D. Texas Government Code, Title 7, Uniform Grant and Contract Management.
 - i. Chapter 783 - Uniform Grant and Contract Management Act.
- C. Policy and Procedure.
 - 1. Texas Juvenile Probation Compliance Resource Manual, Volumes 1 – 2.

COMMENTARY

Discussion and Interpretation:

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

Reviewer Guidelines:

N/A

Verification Documents:

N/A

METHODOLOGY

Compliance Methodology:

N/A

Monitoring Methodology: N/A

Sample: N/A

Point Value: 0

Total Points Possible: 0
Scoring Methodology: N/A
Level: Level 0 - Not Monitorable

REFERENCE MATERIAL

Recommended Best Practices:

N/A

Sample Form(s):

Citation(s):
 Grant C - Commitment Reduction Program
 Article VII Sections A-C

Texas Register Publication Citation:
 N/A

Cross Reference(s):
 General Grant Requirements - All Grants
 Article VII Sections A- C

Board Opinion:
RFI Opinion:

EFFECTIVE DATES

Grant's Effective Date: 9/1/2011 - 8/31/2013
CRM Last Modified On: 1/14/2011

PRE-MONITORING PREPARATION

Program Tour: False

Policy and Procedure: False

Pre-Monitoring Checklist: False

Pre-Monitoring Preparation Checklist:
 N/A

Reviewer Preparation Checklist Required:
 False

Reviewer Preparation Checklist:
 N/A

INTERVIEW QUESTIONS MAY BE ADMINISTERED TO THE FOLLOWING:

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

C - Commitment Reduction Program**Section VIII**

Effective date 9/1/2011 - 8/31/2013

Latest Revision 10/28/2011

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

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

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

1. Any expenditures not authorized in Section VIII (A) are unallowable under this grant including but not limited to the following:

- a. Salary increases or any costs associated with staff hired prior to September 1, 2009;
- b. Costs associated with pre-adjudication detention; and
- c. Any expenditure which

COMMENTARY**Discussion and Interpretation:**

This grant provision addresses the allowable and unallowable expenditure of funds received under this grant. Expenditures shall be made in accordance with Generally Accepted Accounting Principles (GAAP), the Commission's Expenditure Guidelines in General Grant Requirements for the Distribution and Expenditure of State Financial Assistance 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 for the Distribution and Expenditure of State Financial Assistance may be found on the Commission's website at www.tjpc.state.tx.us. If any expenditure fails to meet these requirements, the Grantee shall be in non-compliance with these grant provisions. Allowable expenditures under this grant fall into three (3) main categories as follows:

1. Staff Services

The staff services category includes, but is not limited to:

- a. Salaries and fringe benefits for staff hired by the juvenile probation department effective on or after September 1, 2009 and under the direction of the Grantee;
- b. Travel reimbursement for juvenile probation department staff hired effective on or after September 1, 2009 for the provision of juvenile probation services, juvenile justice programs and administration; and
- c. Operating expenses for the juvenile probation department (e.g., postage, telephone, office supplies, printing and other costs, etc.) directly related to juvenile probation services, juvenile justice programs and administration effective on or after September 1, 2009.

2. Non-Residential Services

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

- a. A service or program provided to a juvenile who has not been placed in a residential facility; and
- b. A service or program provided to a juvenile who has been placed in a residential setting however not included in the cost per day for the juvenile's placement effective on or after September 1, 2009.

3. Residential Services

The Residential Services category includes:

- a. Secure placement; and
- b. Non-Secure placement;

Services may be contracted with a third-party service provider in any non-secure placement facility licensed and/or operated by or under the authority of another governmental entity under the laws of this state or another state.

Unallowable expenditures:

Expenditures for salary increases or any costs associated with staff hired prior to September 1, 2009 is unallowable.

Expenditures for placement of juveniles in pre-adjudication detention is unallowable.

The Grantee shall be required to provide documentation to support payment of salaries and/or fringe benefits for staff that are specialized officers paid with Grant C funds.

Financial Documentation

The Grantee shall maintain complete and accurate accounting records for all expenditure paid with funding from this grant. The accounting records shall include all supporting documentation substantiating an expenditure. All financial documentation shall be maintained according to GAAP. The types of documentation that support an expenditure 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 expenditure guidelines in General Grant Requirements found on the Commission's website at www.tjpc.state.tx.us.

Expenditure Detail Report

To determine compliance with this grant provision, the Commission shall request a detailed system generated expenditure report.

C - Commitment Reduction Program

C - Commitment Reduction Program

Section VIII

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

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

TWO MAIN POLICIES CONTAINED IN TJPC CONTRACTS TO PROBATION DEPARTMENTS:

- 1) Total salary expenditures from all state grant funds should meet or exceed the totals from the previous year; and
- 2) Individual employee's salary may not increase by more than 5% per year, if any portion of the salary is paid from state funds.

IF A DEPARTMENT PROJECTS OR DOES NOT MAINTAIN THE TOTAL SALARIES OF THE PRIOR YEAR, THE FOLLOWING IS REQUIRED:

- 1) Must ask TJPC for a waiver;
- 2) May be approved if the Probation Dept.'s salary funds were reduced by its County along with other Depts. In that County in a similar or across-the-board mandate;
- 3) May be approved if a facility is closed;
- 4) May be approved if a significant function is outsourced; and
- 5) May be approved based on unique factors.

EMPLOYEE(S) PROPOSED TO GET A 7% PAY RAISE AS AN EXAMPLE:

- 1) Must get TJPC approval based on specific circumstances;
- 2) May be approved if it's across the board to all County staff in a similar methodology;
- 3) Request will likely not be approved if it's for probation staff only or a portion of staff; and
- 4) No approval is required if it's a promotion to another assignment;
- 5) May be approved if it's a documented reclassification to significantly higher or significant additional duties; and
- 6) Pay raise must not be split into two parts (i.e., 3% this month and then 4% more before the year is over). This type action will be an audit finding.

NEW HIRES IMPACTED BY THIS PAY RAISE RULE AS FOLLOWS:

- 1) Not affected or applied; and
- 2) New or rehired staff may be paid higher than previous person in that position. County's & Probation Dept.'s standard hiring rules must be obeyed.

DEPARTMENTS SHOULD REQUEST A TJPC WAIVER OR APPROVAL AS FOLLOWS:

- 1) Send detailed email or letter request to Judy.Ybarbo@tjpc.sate.tx.us; and
- 2) Waiver or approval request approved/denied by TJPC Management.

Reviewer Guidelines:

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

1. Prior to the monitoring visit, request from the Grantee an expenditure detail report for this grant for the identified fiscal year;
2. On the day of the monitoring visit, 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 identified fiscal year; 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.

Verification Documents:

1. System generated general ledger (Excel Spreadsheets are not appropriate)
2. Chart of accounts
3. System generated expenditure detail report (Excel Spreadsheets are not appropriate)
4. Payment voucher
5. Supporting documentation:
 - a. Requisition/purchase order;
 - b. Invoice/billing instrument;
 - c. Receipts and/or packing slip;
 - d. Mileage log;
 - e. Timesheets and payroll documentation; and
 - f. Other acceptable documentation
6. External documentation:
 - a. Bank statements, cancelled checks, EFT transaction; and
 - b. Other acceptable documentation

METHODOLOGY

Compliance Methodology:

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

1. The department's juvenile population size determines the total number of transactions reviewed;
2. The number of transactions audited for this grant is determined by this grant's proportionate percentage of the department's total state funding; and

C - Commitment Reduction Program

C - Commitment Reduction Program

Section VIII

3. A random sampling technique is used to select the transactions that will be reviewed. TJPC uses a randomizer number table to draw a simple random sample by making a complete list of all the transactions, assigning each a number and then electronically drawing a set of random numbers which identifies the nth transaction to be sampled.

The Reviewer may discretionarily select expenditures outside the random sample.

Monitoring Methodology: Sample %
Sample: N/A
Point Value: 10
Total Points Possible: 30
Scoring Methodology: 0 - 10
Level: Level 3 - Critical

REFERENCE MATERIAL

Recommended Best Practices:

The Grantee should maintain complete financial policies and procedures in accordance with GAAP for all state, local and federal funds. The Grantee's policies and procedures should follow those of the designated lead county if in a multi-county jurisdiction and the guidelines should address but not be limited to the areas listed below.

Accounting System

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

Accounts Receivable

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

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

Accounts Payable

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

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

Sample Form(s):

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

Citation(s):

Grant C - Commitment Reduction Program Article VIII Sections A-B

Texas Register Publication Citation:
N/A

Cross Reference(s):
General Grant Requirements - All Grants
Article VIII Sections A-B

Board Opinion:
RFI Opinion:

EFFECTIVE DATES

Grant's Effective Date: 9/1/2011 - 8/31/2013
CRM Last Modified On: 1/14/2011

PRE-MONITORING PREPARATION

Program Tour: False

Policy and Procedure: False

Pre-Monitoring Checklist: False

Pre-Monitoring Preparation Checklist:
N/A

Reviewer Preparation Checklist Required:
False

Reviewer Preparation Checklist:
N/A

INTERVIEW QUESTIONS MAY BE ADMINISTERED TO THE FOLLOWING:

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

C - Commitment Reduction Program

C - Commitment Reduction Program

Section VIII

Effective date 9/1/2011 - 8/31/2013

Latest Revision 10/28/2011

TEXT OF STANDARD

Subchapter: VIII. Financial Components

C. Financial Match Requirements.

1. The Grantee shall ensure that county funding for juvenile services (i.e., juvenile probation services and juvenile justice programs) shall not be decreased or be supplanted by funding received under this grant. The Grantee shall certify that the amount of local or county funds expended for juvenile services is at least equal to or greater than the amount spent in the 2006 county fiscal year excluding construction and capital outlay expenses.

COMMENTARY

Discussion and Interpretation:

The Grantee shall certify to the Commission using the Certification of Local Expenditure Report that the level of local or county funds expended for juvenile services is at least equal to or greater than the level of spending in the 2006 county fiscal year. This excludes construction and capital outlay expenses.

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 C - Commitment Reduction Program VIII Section C

Texas Register Publication Citation:

Cross Reference(s):

N/A

Board Opinion:

RFI Opinion:

EFFECTIVE DATES

Grant's Effective Date: 9/1/2011 - 8/31/2013

CRM Last Modified On: 1/14/2011

PRE-MONITORING PREPARATION

Program Tour: False

Policy and Procedure: False

Pre-Monitoring Checklist: False

Pre-Monitoring Preparation Checklist:

N/A

Reviewer Preparation Checklist Required:

False

Reviewer Preparation Checklist:

N/A

INTERVIEW QUESTIONS MAY BE ADMINISTERED TO THE FOLLOWING:

Chief Administrative Officer: False

Professional Staff: False

Program/Facility Administrator:

Juvenile Board Chair: False

Ancillary Staff: False

Juvenile: False

C - Commitment Reduction Program

Section VIII

Effective date 9/1/2011 - 8/31/2013

Latest Revision 10/28/2011

TEXT OF STANDARD

Subchapter: VIII. Financial Components

D. Funding Adjustments.

1. Funding Adjustment Methodology. This grant is at all times subject to state appropriations. The Commission makes no express or implied representation or guarantee of continued or future funding of the grant and may reduce funds to the Grantee in accordance with the funding adjustment methodology that may be developed by the Commission in order to fulfill the requirements set forth in the General Appropriations Act 2011 of the 82nd Legislature, Regular Session, FY 2012-2013, Article V-34, Rider 15.
2. Unexpended Balances. See General Grant Requirements.
3. Overpayments. See General Grant Requirements.
4. Refunds Due. See General Grant Requirements.

COMMENTARY

Discussion and Interpretation:

Article VIII is amended in Section D by deleting Subsection 1 and Paragraph (a) and substituting Subsection 1 to read as follows:

Grantee acknowledges that, pursuant to Rider 15, page V-34, H.B. 1, Acts of the 82nd Legislature, Regular Session, 2011 (the General Appropriations Act), if admissions to TYC exceed 1,111 and upon approval of the Legislative Budget Board, the Comptroller of Public Accounts shall transfer appropriations equal to \$51,100.00 for each commitment over 1,111 in fiscal year 2012 from the Commission to TYC in 2013.

Compliance with funding adjustment requirements as it relates to unexpended balances, overpayments and refunds due for this grant will be monitored under the funding adjustments of General Grants Requirements 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 C - Commitment Reduction Program
Grant Article VIII Section D

Texas Register Publication Citation:

Cross Reference(s):

General Grant Requirements Article VIII
Section D

Board Opinion:

RFI Opinion:

EFFECTIVE DATES

Grant's Effective Date: 9/1/2011 - 8/31/2013
CRM Last Modified On: 1/14/2011

PRE-MONITORING PREPARATION

Program Tour: False

Policy and Procedure: False

Pre-Monitoring Checklist: False

Pre-Monitoring Preparation Checklist:

N/A

Reviewer Preparation Checklist Required:

False

Reviewer Preparation Checklist:

N/A

INTERVIEW QUESTIONS MAY BE ADMINISTERED TO THE FOLLOWING:

Chief Administrative Officer: False

Professional Staff: False

Program/Facility Administrator:

Juvenile Board Chair: False

Ancillary Staff: False

Juvenile: False

C - Commitment Reduction Program

C - Commitment Reduction Program

Section VIII

Effective date 9/1/2011 - 8/31/2013

Latest Revision 10/28/2011

TEXT OF STANDARD

Subchapter: VIII. Financial Components
 E. Timely Expenditure of Grant Funds. See General Grant Requirements.

COMMENTARY

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

Reviewer Guidelines:
 N/A

Verification Documents:
 N/A

METHODOLOGY

Compliance Methodology:
 N/A

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

REFERENCE MATERIAL

Recommended Best Practices:
 N/A

Sample Form(s):
 N/A

Citation(s):
 Grant C - Commitment Reduction Program Grant Article VIII Section E

Texas Register Publication Citation:
 N/A

Cross Reference(s):
 General Grant Requirements Article VIII Section E

Board Opinion:
RFI Opinion:

EFFECTIVE DATES

Grant's Effective Date: 9/1/2011 - 8/31/2013
CRM Last Modified On: 1/14/2011

PRE-MONITORING PREPARATION

Program Tour: False
Policy and Procedure: False
Pre-Monitoring Checklist: False
Pre-Monitoring Preparation Checklist: N/A
Reviewer Preparation Checklist Required: False
Reviewer Preparation Checklist: N/A

INTERVIEW QUESTIONS MAY BE ADMINISTERED TO THE FOLLOWING:

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

C - Commitment Reduction Program

Section VIII

Effective date 9/1/2011 - 8/31/2013

Latest Revision 10/28/2011

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 audit provisions of the General Grant Requirements 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 C - Commitment Reduction Program Article VIII Section F

Texas Register Publication Citation:
 N/A

Cross Reference(s):
 General Grant Requirements Article VIII Section F

Board Opinion:
RFI Opinion:

EFFECTIVE DATES

Grant's Effective Date: 9/1/2011 - 8/31/2013
CRM Last Modified On: 1/14/2011

PRE-MONITORING PREPARATION

Program Tour: False

Policy and Procedure: False

Pre-Monitoring Checklist: False

Pre-Monitoring Preparation Checklist:
 N/A

Reviewer Preparation Checklist Required:
 False

Reviewer Preparation Checklist:
 N/A

INTERVIEW QUESTIONS MAY BE ADMINISTERED TO THE FOLLOWING:

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

C - Commitment Reduction Program

Section VIII

Effective date 9/1/2011 - 8/31/2013

Latest Revision 10/28/2011

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 C - Commitment Reduction Program Article VIII Section G

Texas Register Publication Citation:

Cross Reference(s):
 General Grant Requirements Article VIII Section G

Board Opinion:
RFI Opinion:

EFFECTIVE DATES

Grant's Effective Date: 9/1/2011 - 8/31/2013
CRM Last Modified On: 1/14/2011

PRE-MONITORING PREPARATION

Program Tour: False
Policy and Procedure: False
Pre-Monitoring Checklist: False
Pre-Monitoring Preparation Checklist:
 N/A
Reviewer Preparation Checklist Required:
 False
Reviewer Preparation Checklist:
 N/A

INTERVIEW QUESTIONS MAY BE ADMINISTERED TO THE FOLLOWING:

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

C - Commitment Reduction Program

Section VIII

Effective date 9/1/2011 - 8/31/2013

Latest Revision 10/28/2011

TEXT OF STANDARD

Subchapter: VIII. Financial Components
 H. Service Provider. See General Grant Requirements.

COMMENTARY

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

Reviewer Guidelines:
 N/A

Verification Documents:
 N/A

METHODOLOGY

Compliance Methodology:
 N/A

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

REFERENCE MATERIAL

Recommended Best Practices:
 N/A

Sample Form(s):
 N/A

Citation(s):
 Grant C - Commitment Reduction Program Article VIII Section H

Texas Register Publication Citation:
 N/A

Cross Reference(s):
 General Grant Requirements Article VIII Section H

Board Opinion:
RFI Opinion:

EFFECTIVE DATES

Grant's Effective Date: 9/1/2011 - 8/31/2013
CRM Last Modified On: 1/14/2011

PRE-MONITORING PREPARATION

Program Tour: False
Policy and Procedure: False
Pre-Monitoring Checklist: False
Pre-Monitoring Preparation Checklist: N/A
Reviewer Preparation Checklist Required: False
Reviewer Preparation Checklist: N/A

INTERVIEW QUESTIONS MAY BE ADMINISTERED TO THE FOLLOWING:

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

C - Commitment Reduction Program

Section IX

Effective date 9/1/2011 - 8/31/2013

Latest Revision 10/28/2011

TEXT OF STANDARD

Subchapter: IX. Financial Reporting

A. Annual Reports.

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

COMMENTARY

Discussion and Interpretation:

The Grantee shall enter the Annual Budget Application on the Commitment Reduction Program (Grant C) system, which is the Commission's web-based application. The Grant C web-based application requires a user name and password provided by the Commission's MIS division to gain entry to the application. The Grantee shall enter the program narrative and budget for each program, service, supervision or placement intended under Grant C. Once all program narratives and plans have been entered into the Grant C web-based application, the Grantee shall finalize the application.

Once the Grant C web-based application has been finalized by the juvenile probation department, the Commission will review and approve the application. If discrepancies are noted, the chief is contacted immediately for an explanation and revision.

Reviewer Guidelines:

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

1. Upon receipt of the State Financial Assistance Contract, verify the presence of the required original signatures on the signature page of the State Financial Assistance Contract and the accompanying juvenile board resolution evidencing authority to contract;
2. Sign the signature page of the State Financial Assistance Contract, scan and email to the Chief Juvenile Probation Officer for the department's contract file;
3. Compare and verify grant totals identified in the State Financial Assistance Contract to the budget summary from Grant Manager for consistency;
4. Finalized the department's budget on Grant Manager;
5. Scan contract for the agency electronic file;
6. Make partial disbursement to department if necessary; and
- 7.. File State Financial Assistance Contract for future audit purposes.

Verification Documents:

1. Commitment Reduction Program (Grant C) web-based application
3. Juvenile Board Resolution
4. State Financial Assistance Contract
5. Quarterly Report

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 C - Commitment Reduction Grant IX Section A

Texas Register Publication Citation:
N/A

Cross Reference(s):
Texas Open Meetings Act - Chapter 551
Texas Government Code

Board Opinion:
RFI Opinion:

EFFECTIVE DATES

Grant's Effective Date: 9/1/2011 - 8/31/2013
CRM Last Modified On: 1/14/2011

PRE-MONITORING PREPARATION

Program Tour: False

Policy and Procedure: False

Pre-Monitoring Checklist: False

Pre-Monitoring Preparation Checklist:
N/A

Reviewer Preparation Checklist Required:
False

Reviewer Preparation Checklist:
N/A

INTERVIEW QUESTIONS MAY BE ADMINISTERED TO THE FOLLOWING:

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

C - Commitment Reduction Program

C - Commitment Reduction Program

Section IX

Effective date 9/1/2011 - 8/31/2013

Latest Revision 10/28/2011

TEXT OF STANDARD

Subchapter: IX. Financial Reporting

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

COMMENTARY

Discussion and Interpretation:

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

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

Report Data

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

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

Column A/Budget. The approved allocation of funding for this specific grant by budget categories; and Column B/Previous Expenditures. These items represent a cumulative total of expenditures reported previously. If an error has been made or the amount is not accurate, then any correction should be made in the appropriate service category. (Items #6 – 10).

Information To Be Completed By Fiscal Officer or Authorized Designee.

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

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

11. Total of each column.
12. Signature. The report shall be signed by the Fiscal Officer and Chief Juvenile Probation Officer/Project Director.

Fourth Quarter Expenditure Reports

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

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

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.

C - Commitment Reduction Program

Section IX

Verification Documents:

1. Quarterly Expenditure Report
2. Annual Budget Application

Juvenile: False

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 C - Commitment Reduction Grant Article IX Section B

Texas Register Publication Citation:

N/A

Cross Reference(s):

N/A

Board Opinion:

RFI Opinion:

EFFECTIVE DATES

Grant's Effective Date: 9/1/2011 - 8/31/2013

CRM Last Modified On: 1/14/2011

PRE-MONITORING PREPARATION

Program Tour: False

Policy and Procedure: False

Pre-Monitoring Checklist: False

Pre-Monitoring Preparation Checklist:

N/A

Reviewer Preparation Checklist Required: False

Reviewer Preparation Checklist:

N/A

INTERVIEW QUESTIONS MAY BE ADMINISTERED TO THE FOLLOWING:

Chief Administrative Officer: False

Professional Staff: False

Program/Facility Administrator:

Juvenile Board Chair: False

Ancillary Staff: False

C - Commitment Reduction Program

C - Commitment Reduction Program

Section IX

Effective date 9/1/2011 - 8/31/2013

Latest Revision 10/28/2011

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 C - Commitment Reduction Grant Article IX Section C

Texas Register Publication Citation:

N/A

Cross Reference(s):

N/A

Board Opinion:

RFI Opinion:

EFFECTIVE DATES

Grant's Effective Date: 9/1/2011 - 8/31/2013

CRM Last Modified On: 1/14/2011

PRE-MONITORING PREPARATION

Program Tour: False

Policy and Procedure: False

Pre-Monitoring Checklist: False

Pre-Monitoring Preparation Checklist:
 N/A

Reviewer Preparation Checklist Required:
 False

Reviewer Preparation Checklist:
 N/A

INTERVIEW QUESTIONS MAY BE ADMINISTERED TO THE FOLLOWING:

Chief Administrative Officer: False

Professional Staff: False

Program/Facility Administrator:

Juvenile Board Chair: False

Ancillary Staff: False

Juvenile: False

C - Commitment Reduction Program**Section IX**

Effective date 9/1/2011 - 8/31/2013

Latest Revision 10/28/2011

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

D. Other Periodic Reports.

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

COMMENTARY**Discussion and Interpretation:**

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

c. Vocational and educational fees and supplies;

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

e. Transportation and meals;

f. Clothing and personal hygiene supplies; and

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

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

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

Approved Budget Adjustment Report

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

C - Commitment Reduction Program

C - Commitment Reduction Program

Section IX

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

Reviewer Guidelines:

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

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

Verification Documents:

1. Budget Adjustment Request form

METHODOLOGY

Compliance Methodology:

N/A

Monitoring Methodology: N/A

Sample: N/A

Point Value: 0

Total Points Possible: 0

Scoring Methodology: N/A

Level: Level 0 - Not Monitorable

REFERENCE MATERIAL

Recommended Best Practices:

N/A

Sample Form(s):

N/A

Citation(s):

Grant C - Commitment Reduction Program Article IX Section D

Texas Register Publication Citation:

N/A

Cross Reference(s):

N/A

Board Opinion:

RFI Opinion:

EFFECTIVE DATES

Grant's Effective Date: 9/1/2011 - 8/31/2013

CRM Last Modified On: 1/14/2011

PRE-MONITORING PREPARATION

Program Tour: False

Policy and Procedure: False

Pre-Monitoring Checklist: False

Pre-Monitoring Preparation Checklist:
N/A

Reviewer Preparation Checklist Required:
False

Reviewer Preparation Checklist:
N/A

INTERVIEW QUESTIONS MAY BE ADMINISTERED TO THE FOLLOWING:

Chief Administrative Officer: False

Professional Staff: False

Program/Facility Administrator:

Juvenile Board Chair: False

Ancillary Staff: False

Juvenile: False

C - Commitment Reduction Program

C - Commitment Reduction Program

Section X

Effective date 9/1/2011 - 8/31/2013

Latest Revision 10/28/2011

TEXT OF STANDARD

Subchapter: X. Financial Monitoring

A. Annual Monitoring. See General Grant Requirements.

B. Periodic Monitoring. See General Grant Requirements

COMMENTARY

Discussion and Interpretation:

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

Reviewer Guidelines:

N/A

Verification Documents:

N/A

METHODOLOGY

Compliance Methodology:

N/A

Monitoring Methodology: N/A

Sample: N/A

Point Value: 0

Total Points Possible: 0

Scoring Methodology: N/A

Level: Level 0 - Not Monitorable

REFERENCE MATERIAL

Recommended Best Practices:

N/A

Sample Form(s):

N/A

Citation(s):

Grant C - Commitment Reduction Program Article X Section A-B

Texas Register Publication Citation:

N/A

Cross Reference(s):

N/A

Board Opinion:

RFI Opinion:

EFFECTIVE DATES

Grant's Effective Date: 9/1/2011 - 8/31/2013
CRM Last Modified On: 1/14/2011

PRE-MONITORING PREPARATION

Program Tour: False

Policy and Procedure: False

Pre-Monitoring Checklist: False

Pre-Monitoring Preparation Checklist: N/A

Reviewer Preparation Checklist Required: False

Reviewer Preparation Checklist: N/A

INTERVIEW QUESTIONS MAY BE ADMINISTERED TO THE FOLLOWING:

Chief Administrative Officer: False

Professional Staff: False

Program/Facility Administrator: False

Juvenile Board Chair: False

Ancillary Staff: False

Juvenile: False