

**TEXAS DEPARTMENT OF CRIMINAL JUSTICE  
TEXAS CORRECTIONAL OFFICE ON OFFENDERS WITH MEDICAL  
OR MENTAL IMPAIRMENTS (TCOOMMI)**



**PROGRAM GUIDELINES  
AND PROCESSES**

**NUMBER:** PGP-01.10

**DATE:** September 1, 2017 (rev. 2)

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**SUPERSEDES:** PGP-01.10 (rev.1)

**SUBJECT: PROGRAM MANAGEMENT AND OVERSIGHT**

**APPLICABILITY:** Texas Correctional Office on Offenders with Medical or Mental Impairments (TCOOMMI) staff and contracted Local Mental Health Authority (LMHA) TCOOMMI Program Directors.

**PURPOSE:** To outline the duties and responsibilities of the TCOOMMI Program Director.

**DISCUSSION:** The Program Director is responsible for the guidance and oversight for the TCOOMMI mental health program and the supervision of those employees under their authority to ensure that work conforms to contract standards. On-going monitoring and oversight is crucial for the continued success of the program and all decisions are to be consistent with the mission of TCOOMMI, with the primary focus of public safety and offender mental health care.

**PROCEDURES:**

**I. Liaison Duties**

- A. The following are duties and roles of the Program Director as a liaison for the program:
1. Serve as the primary contact between TCOOMMI and the Local Mental Health Authority (LMHA) and the Intellectual and Developmental Disability Authority.
  2. Provide assistance with referrals for mental health assessments and services with the LMHA for clients who do not qualify for TCOOMMI mental health program services.
  3. Upon request, gather information from local sources such as parole and probation officials, court representatives, jail officials, and social workers.
  4. Serve on local advisory and/or policy committees in the interest of public safety and client mental health care. Notification to the TCOOMMI Manager should be made for each.

## II. Program Oversight

- A. It is essential that accurate information is entered into the TCOOMMI Web Application (WebApp) with regard to client referrals, treatment information, diagnoses, service delivery and appointment scheduling. In many instances, information regarding service delivery must be retrieved by TCOOMMI staff from the WebApp. To meet this requirement, the Program Director is to:
1. Ensure staff access to the WebApp is requested and maintained for a sufficient number of program staff members to ensure that referrals are received and acted upon;
  2. Verify program activity and service delivery information is entered timely and accurately;
  3. Review the Vendor Referral List and Appointment List in the WebApp daily for new referral information and;
  4. Perform a complete review of the data entered into the Web Application no later than the 3rd working day of each month to verify that data entered is complete and accurate.
- B. The Program Director position is tasked with the oversight of the COC and Case Management programs and, as such, is to ensure the following:
1. Clients referred to the TCOOMMI program are appropriately screened for services.
  2. Caseload sizes and service level assignment are appropriate based on established criteria in accordance with PGP-01.01 *Continuity of Care*, PGP 01.02 *Adult Intensive Case Management*, PGP 01.05 *Juvenile Case Management*, and PGP 01.07 *Adult Transitional Case Management* as applicable.
  3. Case staffing and collaboration meetings are held with Probation and Parole officials at least monthly to identify eligible clients for program services. If unable to attend, ensure that a designee is present.
  4. Recommendations are provided to the TCOOMMI Compliance Monitor regarding staffing patterns for their program where indicated.
- C. When an incident is reported by the media, the program's assigned Compliance Monitor is to be contacted within the same day the Program Director is made aware of the event. In the event that the assigned Compliance Monitor is not available, the backup Compliance Monitor assigned to the center is to be contacted (*refer to PGP-01.06, Incident Reporting*).
- D. Each month, self-audits of a random sample of client files is to be completed as an oversight measure with the results used to identify training opportunities and/or corrective measures for affected staff as well as determine overall compliance with TCOOMMI program policy and procedure. Documentation of the results of the file audits should be maintained at the LMHA level.

- E. Quarterly self-monitoring reports of program requirements are due to the assigned Compliance Monitor no later than the third (3<sup>rd</sup>) working day following the end of the quarter.

### III. Program Performance Reporting

- A. Monthly statistical reporting is a cornerstone of the program and is required in order for TCOOMMI administrative staff to provide a summary of TCOOMMI program performance to the Legislative Budget Board on a quarterly basis. The *Program Monthly Report* detailing program activities for the previous month must be completed accurately, in accordance with provided instructions, prior to submission to [programstcoommi@tdcj.texas.gov](mailto:programstcoommi@tdcj.texas.gov), with the TCOOMMI compliance monitor copied, no later than the third (3<sup>rd</sup>) working day of the month.

The *Program Monthly Report* form can be found on the TCOOMMI website under the heading “Contracted Vendor Documents” using the below link:

[http://tdcj.state.tx.us/divisions/rid/rid\\_tcoommi\\_contract\\_vendor\\_program.html](http://tdcj.state.tx.us/divisions/rid/rid_tcoommi_contract_vendor_program.html).

**Note:** By signing the report electronically, handwritten, or by typing the name in the Signature block signifies that a complete review of the information submitted has been made.

- B. Review and verification of the monthly *COC Referral Report* is crucial in that it ensures that the information on the *COC Referral Report* is not only accurate and complete but that any discrepancies between referrals listed on the report and those listed in the program’s records are reconciled. The *COC Referral Report* is provided by TCOOMMI administrative staff and the response is to be submitted to [programs.tcoommi@tdcj.texas.gov](mailto:programs.tcoommi@tdcj.texas.gov) no later than the third (3<sup>rd</sup>) working day of each month.
- C. The *Quarterly Case Load Report* is to be submitted each quarter of the Fiscal Year in accordance with instructions provided with the report. While this form provides a compilation of the previous three (3) months performance, it also provides benefit entitlement information that is not included in the monthly reporting. Accuracy and completeness of the report is to be verified prior to submission to TCOOMMI no later than the tenth (10th) working day following the end of the quarter. This form can be found on the TCOOMMI website at the same location as the *Program Monthly Report*.
- D. The *Quarterly Self-Monitoring Report*, which reports the findings of the internal evaluation used to determine the program’s compliance with contract standards, is to be submitted no later than the third (3<sup>rd</sup>) working day following the end of the quarter. **Note:** there is no TCOOMMI provided form for this, it is a LMHA self-developed document.

### IV. Staffing

- A. All applicants for TCOOMMI program positions must have a criminal background check conducted by the Texas Department of Criminal Justice prior to being assigned to the program. The *Pre-Employment TCIC/NCIC Record Request* form can be found on the TCOOMMI website under the heading “Contracted Vendor Documents”, under Program forms, using the

below link: [http://tdcj.state.tx.us/divisions/rid/rid\\_tcoommi\\_contract\\_vendor\\_program.html](http://tdcj.state.tx.us/divisions/rid/rid_tcoommi_contract_vendor_program.html). An application along with hard copy fingerprints and a money order from the LMHA made out to the Texas Department of Criminal Justice, is to be mailed directly to the Compliance Monitor. After the background results have been reviewed, notification will be provided via e-mail indicating the following:

1. The results were clear, or
  2. A pending charge or warrant exists and must be resolved with documentation provided to the TCOOMMI administrative offices, or
  3. A conviction for an offense was noted and either was approved or disapproved to work with the TCOOMMI program.
- B. The *Monthly Position Vacancy Report* provides an overview of current vacancies in the program and if positions have been filled and by whom. The report is to be submitted to the TCOOMMI fiscal department at [fiscaltcoommi@tdcj.texas.gov](mailto:fiscaltcoommi@tdcj.texas.gov) by the 3<sup>rd</sup> working day of the month with the information provided on the vacancy report complete and accurate (an instruction sheet is attached to the form). The *Monthly Vacancy Report* is to be submitted even in instances when there are no program vacancies noting "No Vacancies" in the first blank. The form can be located in the same location as noted above for the background checks.
- C. In conjunction with the *Position Vacancy report* noted in IV.B above, a *TCOOMMI Position Control Listing* that provides the name, position title, position number, date of assignment, and caseload type should be submitted to the TCOOMMI fiscal department using the email address noted in IV.B above no later than the third (3<sup>rd</sup>) working day of each month. This report provides TCOOMMI with a comprehensive list of all employees assigned to the LMHA TCOOMMI program.
- D. Upper Level Management absence in excess of seventy two (72) hours notifications are to be provided via e-mail to the assigned Compliance Monitor with the appointed designee who will be in charge during the absence noted.

## V. Fiscal Responsibilities

- A. The *Monthly Invoice* form, provided by the TCOOMMI Fiscal Department at the beginning of each fiscal year, is to be submitted by the twentieth (20<sup>th</sup>) working day of the following month. While this form is normally completed by the LMHA fiscal department, the Program Director is responsible to ensure not only has it been submitted timely, but also that salary amounts expensed and line item expenditures are accurate. Prior to submission, it should be verified that adequate funding exists within each line item and supporting documentation for medication, contracted services, and/or any other authorized expenses must accompany the *Monthly Invoice*. Failure to verify expenses, provide documentation of services, or to respond to inquiries from the TCOOMMI Fiscal Department regarding the invoice could result in a delay in processing.

All third party reimbursements, to include Medicaid, should be accurately reflected on the Monthly Invoice. On-going monitoring to ensure that these third party reimbursements are actively pursued by the LMHA TCOOMMI program should be regular and consistent.

- B. While the expectation is that the program will exist under the allocated budget for each fiscal year, it is understood that from time to time, due to unforeseen circumstance, additional funding or a transfer from one line item to another is needed. All requests to amend the existing budget require the submission of a ***Budget Adjustment Request*** form with an accompanying justification form. The forms can be located on the TCOOMMI website under the heading “Contracted Vendor Documents”, under Budget forms, using the below link: [http://tdcj.state.tx.us/divisions/rid/rid\\_tcoommi\\_contract\\_vendor\\_program.html](http://tdcj.state.tx.us/divisions/rid/rid_tcoommi_contract_vendor_program.html). Budget adjustment requests are to be completed quarterly with the expectation that regular monitoring of available funds and review of program expenditure projections occurs routinely. Clear, concise rationales for all requests for adjustment should be documented in the justification form with supporting documentation, if available, provided at time of submission. Delays in processing requests can result if the initial submission does not contain sufficient information. All requests for budget adjustments are to be submitted to [fiscaltcoommi@tdcj.texas.gov](mailto:fiscaltcoommi@tdcj.texas.gov) no later than ten (10) days after the change in quarter.

Should a budget adjustment not be required during a quarter, an e-mail should be submitted [fiscaltcoommi@tdcj.texas.gov](mailto:fiscaltcoommi@tdcj.texas.gov) indicating that no budget adjustment will be submitted to TCOOMMI.

**Note:** a *Budget Adjustment Request* must be submitted in advance for consideration of any changes to staff salaries or any purchases of furniture or equipment for the program.

- C. Any assets (vehicles, furniture, or equipment) purchased with TCOOMMI funds must be tracked and accounted for on a yearly basis. Upon receipt of any items purchased with TCOOMMI funds, the packing slip, or like document, must be forwarded to the TCOOMMI Fiscal Department for update of records.

Each fiscal year, an ***inventory listing*** of these assets will be provided which must be verified against the actual asset and returned to the TCOOMMI Fiscal Department within ten (10) working days. Any items not located or not indicated on the inventory listing should be notated with an explanation to accompany the signed verified inventory report prior to submission. Under no circumstance should equipment be disposed of or destroyed without written authorization from the TCOOMMI Fiscal Department. Any property not approved for destruction or disposal will be coordinated with the TCOOMMI Fiscal Department for return.

- D. All requests for approval to attend work/program related meetings, conferences or trainings are to be submitted individually using the ***Meeting/Conference/Training Travel Request*** form to the TCOOMMI Fiscal Department at [fiscaltcoommi@TDCJ.texas.gov](mailto:fiscaltcoommi@TDCJ.texas.gov) for review, no less than fifteen (15) days in advance. The form can be found on the TCOOMMI website under the heading “Contracted Vendor Documents”, under Budget forms, using the below link: [http://tdcj.state.tx.us/divisions/rid/rid\\_tcoommi\\_contract\\_vendor\\_program.html](http://tdcj.state.tx.us/divisions/rid/rid_tcoommi_contract_vendor_program.html). Requests will

be reviewed and decided on a case by case basis, subject to availability of funds, with notice of the decision provided via e-mail. **Note:** Travel costs cannot exceed TDCJ travel rates which are available upon request.

- E. Any requests to utilize program funds to pay for an individual client's immediate financial needs must be submitted on a *Flex Funds Request* form with sufficient time for processing, no less than 24 hours prior to needed payment. The form can be located in the same location as noted above for meeting requests. Prior to submission, it should be determined that other community resources have been pursued to resolve the financial need prior to requesting the use of program funds. Decisions resulting from the review of each request will be based on the merit of the request and fund availability with the response provided via e-mail to the requestor. Any unauthorized use of funds for these purposes will be declined for payment. Refer to the contract section "Basis for Calculating Reimbursable Costs" for a listing of costs not authorized or allowed.

## VI. Compliance Reviews/Audits

- A. TCOOMMI staff are to be provided with all necessary program and/or financial information during an on-site or desk program review, as well as any other written or verbal request made for program or financial information throughout the contract term.
- B. A written corrective action plan in response to any findings from the Compliance Review is to be coordinated and submitted within twenty (20) days of receipt of the written compliance review report per contract requirements.
- C. A copy of an annual independent audit report is to be sent to the TCOOMMI fiscal department via U.S. mail within one hundred and eighty (180) days of the end of the Local Mental Health Authority's fiscal year.

  
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April Zamora, Director  
Reentry and Integration Division