COURT OF CRIMINAL APPEALS OF TEXAS
JUDICIAL AND COURT PERSONNEL TRAINING PROGRAM

APPLICATION FOR GRANT FUNDING

FY 2017

INSTRUCTIONS

I. General Instructions

The grant application forms were created by the Judicial Education Section of the Court of Criminal Appeals to meet its needs for the review and approval of grant applications. Formats, where provided, have been standardized and must be adhered to at all times. The instructions provided here are intended to guide you through the steps of preparation. Use only the files and forms provided by the Court for the FY 2017 application. Make sure the grantee name and grant year appears at the top of each page. Enter information only in the white portions of the grant application. Some sheets may require additional rows, in which case grantees may add any number of rows needed in order to accurately complete the information. Also, grantees are responsible for entering mathematical formulas as needed in the white portions of the application and ensuring the integrity of the calculations. Please leave the original formatting intact as much as possible, including borders and headings.

The grant application process is a draft and revision process. It may take several submissions before a version is acceptable for review and approval by the Court. When your application is ready for submission, you should send the completed application and all related documentation to the Judicial Education Office at JudicialEducation@txcourts.gov.

Applications for FY 2017 grant funding are due **July 1, 2016**, unless otherwise instructed by the Court.

II. Proposed Budget

A. Sheet by Sheet Instructions

1. **Application for Grant Funding Form** – Application for Grant Funding form for the base amount of funding requested for the fiscal year.

2. **Combined Application for Grant Funding Form** – Combined Application for Grant Funding form which includes the base amount of funding for the fiscal year plus the following estimates: program income, and unexpended program income and unexpended grant

funds to be carried over into the fiscal year. This submission will be your total estimated funding for the fiscal year requested. Note: This submission does not apply to new applicants.

3. **Schedule of Planned Courses** – Enter all events, including course descriptions planned for the fiscal year in date order. There should be one training event per row except when additional rows need to be added to accommodate the different participant types to be trained at the event. All events must show dates and locations, no TBD *(to be determined)* may be entered.

4. **Budget Recap** – Enter nothing. You should find this sheet protected and all cells locked.

5. **Forecasted Cash Needs** – Enter the estimated amounts of cash for each month needed to operate your grant program. Be mindful of current FDIC maximum insured limits. Read the note at the bottom of this sheet.

6. **Salaries Schedule** – Enter employee title and name for each position. Under the heading "Other Funding" enter the time percentages and salary amounts for each position that is funded from other funding sources. At some point during the grant application cycle the Court will lock this sheet against further entry, meanwhile grantees may add columns in the section under the heading "Other Funding" as needed, and also rows as needed. If you are budgeting a position for a partial year specify the time period in parenthesis in the title field, e.g. *Administrative Assistant (Jan-Aug).*

7. **OASI –** Enter nothing. You should find this sheet protected and all cells locked.

8. **Benefit Replacement Pay (BRP)** – Employees hired after 8/31/95 are ineligible for BRP. For eligible employees grantees may enter their total annual salary in the white rows of the schedule.

9. **Retirement Schedule** – An employee who is in their fourth (4th) month of continuous employment is eligible for the retirement benefit. The retirement rate may not exceed 6.45%. The default retirement base for each position is salaries plus BRP and longevity. For employees ineligible for the retirement benefit a zero amount ($.00) should be entered in the retirement base field.

10. **Health Insurance** – An employee who is in their fourth (4th) month of

continuous employment is eligible for the health insurance benefit. Under the column heading "Coverage" enter the coverage type for each employee, e.g. employee only, employee + one dependent, or employee + family. Enter the total monthly insurance premium and employee-only amount for each employee. **Note:** Insurance premiums *cannot* include dental or life insurance coverage. The remainder of the fields are automatically calculated.

11. **Longevity** – The Court allows longevity pay of up to $20 per month for each 2 years of service. Grantees may elect to not pay for longevity in which case the white cells should be left blank. Otherwise, enter the length of service *(e.g. 5 yrs. 8 mos.)* at 9/1/1~~6~~ and the monthly dollar amount for each employee who qualifies for longevity. In the event an employee's longevity is to increase during the year an additional row should be added to reflect the change. For example, say an employee's length of service is 5 years, 8 months on 9/1/1~~6~~. They would be eligible for $40 per month for 4 months *(Sept.-Dec.)* and $60 per month for 8 months *(Jan.-Aug.)*. The schedule will require two rows of information for that employee, one row for the $40 rate, and another for the $60 rate.

12. **SUI** – Enter the rate assigned by the state. The minimum rate assigned by the state is .29% which would be entered as .0029. Excel converts the number to a percentage automatically.

13. **FUTA, Worker's Compensation** – Enter the federal rate required. The maximum rate is 6.2%, on salaries up to $7,000 but may be reduced by the rate paid for Texas State Unemployment up to 5.4%. Note: 501(c)(3) grantees are exempt from FUTA and should leave the white area blank.

14. **Worker's Compensation** – This schedule is a little more involved because not all providers of worker's compensation insurance base their premiums on employee specific risks. Instead most are determined by classes or categories of employee positions, in which case all that needs to be entered is the estimated total worker's compensation premium for the entire staff in the yellow colored field. Excel will automatically calculate the grant percentage based on the percentage of grant salaries over total salaries. However, grantees may enter employee by employee salaries, premium basis, and rates assigned by the provider.

15. **Administrative Travel - Staff, Board, and Committee - Meals** – The maximum rate for meals is $36.00 per day for staff, board, and committee *(except for the Texas Center for the Judiciary, Inc.)* In each

field enter the estimated costs, rates, and formulas as needed. Add rows as needed. Make sure the totals at the bottom are correct.

16. **Travel - Staff, Board, and Committee - Lodging** – The maximum rate for lodging is limited to rates provided by the U.S General Services Administration as permitted by the Texas Comptroller of Public Accounts *(except for the Texas Center for the Judiciary, Inc.)*. The rates are exclusive of taxes. In each field enter the estimated costs, rates, and formulas as needed. Add rows as needed. Make sure the totals at the bottom are correct.

17. **Travel - Staff, Board, and Committee - Transportation** – The maximum mileage rate effective is $.45 per mile for all grantees until further notice. This rate should be used until the Legislature changes the rate. In each field enter the estimated costs, rates, and formulas as needed. Add rows as needed. Make sure the totals at the bottom are correct.

18. **Travel - Staff, Board, and Committee - Other** – Enter descriptions of the estimated costs including rates and costs per unit as necessary. Examples of such costs are phone, fax, copying, registration fees, and the cost of breaks for board and committee meetings. Include travel dates and events where applicable. Add rows as needed. Make sure the totals at the bottom are correct.

19. **Capital Outlay** – Capital items are defined as non-expendable property having a unit cost of $1,000 or more and a useful life of 1 year or more. Enter a detailed description of each estimated capital acquisition. Unit costs must be provided. For example, the following would be an acceptable entry- *"ten (10) computer workstations including monitor, processor, speakers, keyboard, and mouse, at $1,825 each for a total of $18,250 to be purchased from Dell Computer."*

20. **Operating Expenses** – Enter the estimated cost for each account by funding source. Enter a detailed description of each cost under the column titled- basis of estimated cost. For example, you may enter- *"estimated office supplies of $5,000 based on current actual costs for FY 2016 of $4,500 to date plus $500 estimated through August."* It is not adequate to enter something like- "based on historical cost". Actual historical numbers must be entered or estimates based on mathematical formulas.

21. **Direct Participant Training - Recap Schedule** – Enter all data necessary, add rows and columns, and make any modifications

necessary to ensure the accuracy of this sheet. The order of entries for this sheet and all other DPT sheets which are training event driven should mirror the Schedule of Planned Courses sheet. The grand total of this sheet plus the total of the Publications/Video Production and Training Sponsored by Others sheets should equal the total of the DPT category in the Budget Recap sheet. This is also a good way to verify the accuracy of this sheet.

22. **Direct Participant Training - Participant Meals** – The maximum rate for participant meals is $36.00 per day except for Appellate, District, and Statutory County Judges who are allowed actual and necessary rates up to a maximum of $72.00 per day *(twice 2X state rates)*. In each field enter the estimated costs, rates, and formulas as needed by seminar. Add rows as needed. Make sure the totals at the bottom are correct.

23. **Direct Participant Training - Participant Lodging** – The maximum rate for participant lodging is limited to rates provided by the U.S General Services Administration as permitted by the Texas Comptroller of Public Accounts (the rates are exclusive of taxes), except for Appellate, District, and Statutory County Judges who are allowed actual and necessary rates up to a maximum of twice (2X) General Services Administration rates. In each field enter the estimated costs, rates, and formulas as needed by seminar. Add rows as needed. Make sure the totals at the bottom are correct.

24. **Direct Participant Training - Participant Travel** – In each field enter the estimated costs, rates, and formulas as needed by seminar. Add rows as needed. Make sure the totals at the bottom are correct.

25. **Direct Participant Training - Participant Other** – The maximum mileage rate is $.45 per mile until further notice. Enter descriptions of the estimated costs, including rates and costs per unit as necessary, by seminar. The term "Other" includes costs such as phone, fax, and copying. Include travel dates and seminar titles. Add rows as needed. Make sure the totals at the bottom are correct.

26. **Direct Participant Training - Faculty Meals** – Faculty are allowed actual and necessary rates up to a maximum of $72.00 per day. In each field enter the estimated costs, rates, and formulas for each seminar. Add rows as needed. Make sure the totals at the bottom are correct.

27. **Direct Participant Training - Faculty Lodging** – Faculty are allowed actual and necessary rates up to a maximum of twice (2X) the rates

provided by the U.S General Services Administration as permitted by the Texas Comptroller of Public Accounts (the rates are exclusive of taxes. In each field enter the estimated costs, rates, and formulas for each seminar. Add rows as needed. Make sure the totals at the bottom are correct.

28. **Direct Participant Training - Faculty Travel** – The maximum mileage rate effective is $.45 per mile until further notice. In each field enter the estimated costs, rates, and formulas as needed by seminar. Add rows as needed. Make sure the totals at the bottom are correct.

29. **Direct Participant Training - Faculty Presentation Fees** – For each seminar enter the estimated presentation *(speaker)* fees. Add rows as needed. Make sure the totals at the bottom are correct.

30. **Direct Participant Training - Faculty Other** – Enter descriptions of the estimated costs, including rates and costs per unit as necessary, by seminar. The term "Other" includes costs such as phone, fax, and copying. Include travel dates and seminar titles. Add rows as needed. Make sure the totals at the bottom are correct.

31. **Seminar Breaks** – Enter seminar title, date, and estimated cost of morning and afternoon breaks. Breaks are limited to two per day, one in the morning and one in the afternoon. Also, breaks may not exceed $15.00 per person per day.

32. **Conference Room Rentals, A/V Equip. Rental Course Materials, Publications, Video production, State Bar Certification Fees** – Enter appropriate descriptions for each cost. If the costs are attributable to seminars enter the seminar title. Include a breakdown of costs where appropriate. For example, if you estimate printing costs for a particular seminar are based on an estimated 600 participants receiving copies of a handout at $8.00 per copy for a total of $4,800, include that information on the schedule. Add rows as needed. Make sure the totals at the bottom are correct.

B. File Names

The same file naming rule applies to all grantees. File names may not contain any other characters, symbols, numbers, or letters. The date at the end of the file name designates the version of the file being submitted. **Grant [Grant Year] [Grantee Acronym] [Base or All Funds Grant] [Date Submitted]**. For example, the following would be a valid file name: Grant 2017 TMCEC Base 6-17-16. The all funds inclusive version would be named Grant 2017 TMCEC All 6-17-16.

C. Budget-related Attachments

1. **Allocation Methodology** – An explanation of the methodology used to allocate the budget across all funding sources.

2. **Independent Audit Report** – Include a copy of the independent audit report for the most recent fiscal year closed, or a written explanation as to the status of the independent audit, or, if the audit report was previously submitted to the court, the date of submission.

3. **Internal Control System Over FDIC Limits** – A narrative description of the grantee's internal system for ensuring grant funds on deposit do not exceed the current FDIC maximum insured limit, and copies of any agreements with financial institutions relating to such protection including arrangements for sweep accounts.

III. Other Submissions

A. **Program Narrative** – The Program Narrative file, in Microsoft Word format, describes the background and mission of the applicant, and the goals and objectives of programming. In stating the objectives of programming, applicants should focus on the overall programmatic objective rather than on specific, operational objectives. In 1500 words or less, the narrative must also address the following key areas:
   - Length of time the applicant has served constituent group
   - Length of time applicant has provided training
   - Executive level staffs' education, experience and ability
   - Ability to meet the needs of constituent group
   - Procedures used to evaluate programs
   - Assessment of constituent needs

B. **Curriculum Plan** – The purpose of the Curriculum file is to gather courses for the fiscal year that are supported with grant funding. Do not modify the categories provided. Enter ALL grant funded courses planned for the fiscal year in date order. The first submission of the Curriculum file, as part of the grant application, must be identified by the numeric character "1" at the end of the file name. For example, the first file submission for Texas Municipal Courts Education Center (TMCEC) would be "Curriculum2017.TMCEC.1". **Thereafter, the Court must be notified of all programming changes (e.g. date, time, location, etc.).** Due dates are the first business day of the month preceding the scheduled event. Subsequent revisions must be saved using the original file name with the last number changed to the next number in sequence. For example, the first revised file submission would be "Curriculum2017.TMCEC.2". Subsequent submissions are not required if there are no changes. The Court must receive a revised curriculum file and a

short narrative describing the revision. In certain circumstances, a grant adjustment request is required. Please refer to the current grant conditions.

C. **Position Descriptions** – The Position Descriptions file, in Microsoft Word format, includes a description of each staff position to be funded by the grant.

D. **Certification of Authorized Officials** – Enter the required name, title, address, and phone number for each official, and have each official sign the form. Make sure the grantee name and grant title appears at the top of the page. The certification language is not subject to alterations and should not be modified in any way. This form is due with your first submission of the grant application for the grant year.

E. **Conflict of Interest Disclosure Form** – All organizations applying for a grant from the Texas Court of Criminal Appeals must complete this form. It is the applicant's obligation to disclose all conflicts of interest. It is also the applicant's obligation to immediately file an amended form with the Court whenever an actual or potential conflict of interest arises. Failure to disclose a conflict of interest may result in corrective action including canceling or reducing the grant funds by an appropriate amount as determined by the Court. By completing this form, the applicant certifies that it has fully disclosed all actual and potential conflicts of interest or that no actual or potential conflicts of interest exist.

F. **Third-Party Contracts Form** – For all third-party contracts that will be binding on the applicant in the fiscal year for which funding is requested, enter the third party's name, date the contract was executed or will be executed, amount, type (including reoccurring and ongoing agreements), and purpose. Please refer to the current grant conditions for the definition of third-party contracts. If no third-party contracts exist, please state as such and return the form.

G. **Other Grant Agreements** – A copy of all other grant agreements between the grantee and other providers for the fiscal year for which funding is requested, regardless of source, i.e. federal, state, or private. Hard copy submissions are permitted when electronic copies are not available.

III. Post-Award Submissions

A. **Grantee Acceptance Notice** – This form contains your grant agreement and certification information. The Court will complete the upper portion of the form prior to grant approval. As soon as you receive notification from the Court of Criminal Appeals that your grant application is approved you should go to this form and enter the information requested in the white cells, print, have the yellow cells signed by the persons indicated, then send it to the Court of

Criminal Appeals. The completed acceptance notice is due within 30 days of receiving notice from the Court that your grant application is approved. If the 30th day falls on a weekend or holiday, the due date is the following business day.

B. Request for Funds Form – After your grant is approved and you have received a final version of your base budget from the Court, you may submit this form to request funds.

C. Course Certification File – The purpose of the Course Certification File is to certify the completion of courses or seminars previously submitted to the Court as part of the application process. **The Course Certification file must be submitted to the Court within 30 days of the conclusion of each training event.** If the 30th day falls on a weekend or holiday, the due date is the following business day. **A late submission will result in a penalty of $500 which will be deducted from the grantee's grant award.** The following information must be included for each course: title, date, time, location, registration material, agenda, sign-in sheets, evaluation summation, course-related publication(s), biography or resume for each faculty member and the actual number of participants by constituent type. **Should your participant counts differ from the original course certification filed, please submit an amended form as soon as possible.** The following items must be submitted as attachments: registration material, agenda, sign-in sheets, sign-in sheet summary, evaluation summation, course-related publication(s), and a biography or resume for each faculty member. The spreadsheet provided by the Court must be used.

Send completed applications and related documentation to
JudicialEducation@txcourts.gov.

Court of Criminal Appeals

FY 2017 Grant Application

Submissions Checklist

- ☐ **Application for Grant Funding Form (Base Grant Budget)**
- ☐ **Combined funds Application for Grant Funding Form (All funds Inclusive Grant Budget)**
- ☐ **Allocation Methodology**
- ☐ **Independent Audit Report**
- ☐ **Internal Control System Over FDIC Limits**
- ☐ **Program Narrative**
- ☐ **Curriculum Plan**
- ☐ **Position Descriptions**
- ☐ **Certification of Authorized Officials**
- ☐ **Conflict of Interest Disclosure Form**
- ☐ **Third Party Contracts Form**
- ☐ **Other Grant Agreements**
- ☐ **Grantee Acceptance Notice**