Prisoner Reentry Initiative (PRI)

Discretionary Grant Program

Effective Grants Management

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State Policy Advisor
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Overview

• Grants Management System (GMS)
• Special Conditions
• Use of Funds
• Reporting Requirements
• Grant Adjustment Notices (GAN)
• Closeouts
• Monitoring
Welcome to GMS

https://Grants.ojp.usdoj.gov

Welcome to the Grants Management System

New Applicants Click here first for Training Material
Grants Management System (GMS)

- What is GMS for?
  - Applying for a grant
  - Making changes to an application
  - Receiving award acceptance documents
  - Submitting Progress Reports
  - Submitting Quarterly Financial Reports (SF-269A)
  - Submitting Grant Adjustment Notices (GANs)
  - Closing out a grant
Grants Management System (GMS)

- GMS: https://grants.ojp.usdoj.gov/
- GMS Training Tool: http://www.ojp.gov/gmscbt/
- BJA Website: http://www.ojp.usdoj.gov/BJA/
- GMS Help Desk: (888) 549-9901
Welcome to the on-line training support for the Grants Management System (GMS).

To access the Grants Management System computer-based training material, CLICK HERE.

For information on how to register Financial Points of Contact and how to submit financial status reports (SF-269) CLICK HERE.

For information on how to consolidate your awards under a single account, CLICK HERE.

For information on how to submit on-line Office for Victims of Crime (OVC), Victims of Crime Act (VOCA) Victim Compensation Performance Reports, CLICK HERE for Victim Assistance Performance Reports.

For information on how to submit on-line Office for Victims of Crime (OVC), Victims of Crime Act (VOCA) Crime Victim Compensation State Certification Form, CLICK HERE.

If you have additional questions, please contact the help desk at 1-888-549-9901 or send an email to GMSHelpDesk@oJP.usDOJ.gov.
Special Conditions

• Part of the award package

• Some special conditions are standard to all programs

• Some special conditions apply specifically to your program
SPECIAL CONDITIONS

1. The recipient agrees to comply with the financial and administrative requirements as set forth in the current edition of the Office of Justice Programs (OJP) Financial Guide.

2. The recipient acknowledges that failure to submit an acceptable Equal Employment Opportunity Plan (if recipient is required to submit one pursuant to 28 C.F.R. Section 42,102), that is approved by the Office for Civil Rights, is a violation of its Certified Assurances and may result in suspension or termination of funding, until such time as the recipient is in compliance.

3. The recipient agrees to comply with the organizational audit requirements of OMB Circular A-133, Audits of States, Local Governments, and Non-Profit Organizations, as further described in the current edition of the OJP Financial Guide, Chapter 9.

4. Recipient understands and agrees that it cannot use any federal funds, either directly or indirectly, in support of the establishment, reappraisal, modification or adoption of any law, regulation or policy, at any level of government, without the express prior written approval of OJP.

5. The recipient agrees to submit to BJA for review and approval any curricula, training materials, or any other written materials that will be published, including web-based materials, and web site content, through funds from this grant at least thirty (30) working days prior to the targeted dissemination date.

6. The recipient agrees to cooperate with any assessment, national evaluation efforts, or information or data collection requests, including, but not limited to, the provision of any information required for the assessment or evaluation of any activities within this project.

7. "Applicants must certify that Limited English Proficiency persons have meaningful access to the services under this program(s). National origin discrimination includes discrimination on the basis of Limited English Proficiency (LEP). To ensure compliance with Title VI and the Civil Rights Act, recipients are required to take reasonable steps to assure that LEP persons have meaningful access to their programs. Meaningful access may entail providing language assistance services, including oral and written translation when necessary. The U.S. Department of Justice has issued guidance for grantees to help them comply with Title VI requirements. The guidance document can be accessed at the Internet at www.ope.gov."

8. The award recipient agrees to participate in a data collection process measuring program outputs and outcomes. The data elements for this process will be outlined by the Office of Justice Programs.

9. The recipient shall submit to BJA one copy of all reports and proposed publications resulting from this agreement thirty (30) days prior to public release. Any written, visual, or audio publications, with the exception of grant releases, whether published at the grantee’s or government’s expense, shall contain the following statement: "This project was supported under Grant No. 2007-DG-BX-K094 awarded by the Bureau of Justice Assistance. The Bureau of Justice Assistance is a component of the Office of Justice Programs, which also includes the Bureau of Justice Statistics, the National Institute of Justice, the Office of Juvenile Justice and Delinquency Prevention, and the Office for Victims of Crime. Points of view or opinions expressed in this document are those of the author and do not represent the official position or policies of the United States Department of Justice. The current edition of the OJP Financial Guide provides guidance on allowable printing activities.

10. All contracts under this award should be competitively awarded unless circumstances preclude competition. When a contract amount exceeds $100,000 and there is no competition for the award, the recipient must comply with rules governing sole source procurement found in the current edition of the OJP Financial Guide.
Withholding Special Conditions

- Budget pending review or approval
- Indirect cost rate not approved
- BJA programmatic withholding
- Overdue financial & progress reports
- Delinquent audit report
PRI Special Conditions

- Grantees must award a minimum of 30% of their DOJ PRI funding to one FBCO within the targeted urban area that will provide post-release services to eligible offenders.

- Funding to this FBCO may not be used for substance abuse treatment, mental health, or housing services.

- The grantee and subgrantee should coordinate with other programs and entities to arrange for these services to eligible ex-offenders.
PRI Special Conditions...

- Grantees may use 70% of their DOJ awarded funds to support both pre- and post-release services for eligible offenders.

- Offender eligibility will be based on a formal risk and needs assessment administered by the grantee; no sexual offenders will be eligible for services.

- The DOJ grantee and the DOL-selected FBCO will coordinate in setting the acceptable level of risk of individuals to be served and referred to the FBCO.
PRI Special Conditions…

• Enrollment of offenders in pre-release programming must begin within 4 months of receiving the award.

• An enrollment-to-release-from-incarceration-period should not exceed 6 months.

• Pre-release programming will not exceed 6 months.

• A minimum of 50 % of DOJ participants will be referred to the DOL-selected FBCO.
Use of Funds

- OJP Financial Guide: 
  http://www.ojp.usdoj.gov/finguide06/index.htm

- Program Solicitation: 

- OMB Circulars: 
Allowable Costs

- OMB Circulars
- OJP Financial Guide
- Solicitation, legislation, or program guidelines
- BJA SPA

Specific guidance

Broad guidance
Unallowable Costs

- Land acquisition
- Lobbying
- Fundraising
- Compensation and travel for federal employees
- Consultant fees above $450/day (without prior approval)
- Bonuses or commissions
- Military-type equipment
- Corporate formation
- State and local sales taxes
- Costs incurred outside the project period
- Other unallowable costs
Working with your Budget

Accounting System

• Must establish and maintain program accounts which will enable separate identification and accounting for:

  – Receipt and disposition of all funds
  – Funds applied to each budget category included within the approved award
  – Expenditures governed by any special and general provisions
  – Non-Federal matching contribution
Budget Detail Worksheet

Purpose: The Budget Detail Worksheet may be used as a guide to assist you in the preparation of the budget and budget narrative. You may submit the budget and budget narrative using this form or in the format of your choice (plain sheets, your own form, or a variation of this form). However, all required information (including the budget narrative) must be provided. Any category of expense not applicable to your budget may be deleted.

Budget Summary: When you have completed the budget worksheet, transfer the totals for each category to the spaces below. Compute the total direct costs and the total project costs. Indicate the amount of Federal requested and the amount of non-Federal funds that will support the project.

<table>
<thead>
<tr>
<th>Budget Category</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>A. Personnel</td>
<td>______</td>
</tr>
<tr>
<td>B. Fringe Benefits</td>
<td>______</td>
</tr>
<tr>
<td>C. Travel</td>
<td>______</td>
</tr>
<tr>
<td>D. Equipment</td>
<td>______</td>
</tr>
<tr>
<td>E. Supplies</td>
<td>______</td>
</tr>
<tr>
<td>F. Construction</td>
<td>______</td>
</tr>
<tr>
<td>G. Consultants/Contracts</td>
<td>______</td>
</tr>
<tr>
<td>H. Other</td>
<td>______</td>
</tr>
<tr>
<td>Total Direct Costs</td>
<td>______</td>
</tr>
<tr>
<td>I. Indirect Costs</td>
<td>______</td>
</tr>
<tr>
<td>TOTAL PROJECT COSTS</td>
<td>______</td>
</tr>
</tbody>
</table>

Budget Modification

The 10% Rule

- Movement of dollars between approved budget categories is allowable up to 10% of the total award amount, provided there is no change in scope. (Exception: Indirect Costs category)

NOTE: This 10% rule does not apply to grant awards less that $100,000 unless there is a change in scope of the project.
Reporting Requirements

- Quarterly Financial Status Reports (SF-269A)
- Semi-annual Progress Reports
- Audit Reports
- Funds are “frozen” if reports are not submitted on time
Financial Reporting

• Financial Status Reports (SF-269A)

<table>
<thead>
<tr>
<th>Quarter</th>
<th>Due By</th>
</tr>
</thead>
<tbody>
<tr>
<td>January 1 - March 31</td>
<td>May 15</td>
</tr>
<tr>
<td>April 1 - June 30</td>
<td>August 14</td>
</tr>
<tr>
<td>July 1 - September 30</td>
<td>November 14</td>
</tr>
<tr>
<td>October 1 - December 31</td>
<td>February 14</td>
</tr>
</tbody>
</table>

• Final SF-269A is due within 90 days after the end date of the award
Financial Reporting

• Matching funds
  – PRI match is 25%

• Program income
Help with SF-269A


• For general information concerning online filing contact OCFO Customer Service at (800) 458-0786 #2

• The OJP GMS On-line Training Tool provides step-by-step instructions to complete various functions within GMS http://www.ojp.gov/gmscbt/
  SF-269 specific training coming in Feb 2008

• The GMS Help Desk can assist you with any user id/password issues GMS.helpdesk@usdoj.gov or (888) 549-9901 #3
### Progress Reports

<table>
<thead>
<tr>
<th>Grant Program</th>
<th>Reporting Period</th>
<th>Due Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>PRI</td>
<td>January 1 – June 30&lt;br&gt;July 1 – December 31</td>
<td>July 30&lt;br&gt;January 30</td>
</tr>
</tbody>
</table>

Your responses to the questions under the Performance Metrics section will satisfy the progress report requirement.
Performance Metrics

Continuation of the grant program

Influences BJA’s budget formulation

Assessing your project’s progress and success

Assessing the grant program’s progress and success

Reporting these results to Congress
<table>
<thead>
<tr>
<th>Performance Metrics</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>1.</strong> What were your accomplishments within this reporting period?</td>
</tr>
<tr>
<td><strong>2.</strong> What goals were accomplished, as they relate to your grant application?</td>
</tr>
<tr>
<td><strong>3.</strong> What problems/barriers did you encounter, if any, within the reporting period that prevented you from reaching your goals or milestones?</td>
</tr>
<tr>
<td><strong>4.</strong> Is there any assistance that BJA can provide to address any problems/barriers identified in question #3 above? (Please answer YES or NO only.)</td>
</tr>
<tr>
<td><strong>5.</strong> Are you on track to fiscally and programmatically complete your program as outlined in your grant application? (Please answer YES or NO. If no, please explain.)</td>
</tr>
<tr>
<td><strong>6.</strong> What major activities are planned for the next 6 months?</td>
</tr>
<tr>
<td><strong>7.</strong> Based on your knowledge of the criminal justice field, are there any innovative programs/accomplishments that you would like to share with BJA?</td>
</tr>
</tbody>
</table>
Performance Metrics

• All questions in the Performance Metrics section must be answered in the fields provided.
  – Attachments should only contain supporting and supplemental information.

• The first 7 questions require a narrative response.
  – The answers should provide sufficient detail to accurately reflect the progress made towards implementing your grant and achieving your goals and objectives.
Performance Metrics (Standard)

1. What are your accomplishments within this reporting period?

2. What are the goals accomplished as they relate to your grant application?

3. What problems/barriers did you encounter, if any, within the reporting period that prevented you from reaching your goals or milestones?

4. Is there any assistance that BJA can provide to assist with question #3 above? (Please answer YES or NO only.)
5. Are you on track to fiscally and programmatically complete your program as outlined in your grant application? (Please answer YES or NO. If no, please explain.)

6. What are the major activities planned for the next 6 months?

7. Based on your knowledge of the criminal justice field, are there any innovative programs/accomplishments that you would like to share with BJA?
Performance Metrics (Specific)

• The remaining questions require a numerical answer; please provide the NUMBER ONLY in the field.

• If a question does not apply to the program, grantees should answer with the number 0 and explain in the narrative section. Please do not put N/A or NONE or UNKNOWN.

If the instructions are not followed, progress reports will NOT be approved and will be returned for corrections.
PRI Progress Reports

- Phase I: Assessment/planning phase (Months 1-3)
  - Select lead agency
  - Establish a multidisciplinary advisory group
  - Develop and implement offender screening and assessment processes
  - Develop a written implementation plan for critical pre- and post-release services
  - Develop and implement a transition planning process
PRI Progress Reports...

• Phase II: Implementation *(Months 4-24)*

  – Implement approved strategy
  – At least 200 offenders must complete pre- & post-release
  – Manage screening process
  – Use a dynamic risk & need assessment process
  – Oversee pre- and post-release
  – Coordinate transition services
  – Design and implement a monitoring & evaluation plan
Help with Progress Reports

• For more information on instructions please go to: http://www.ojp.usdoj.gov/BJA/grant/ProgressReport.html

• The OJP GMS On-line Training Tool provides step-by-step instructions to complete various functions within GMS http://www.ojp.gov/gmscbt/

• To obtain assistance in using the Progress Report module, please contact the GMS Help Desk GMS.helpdesk@usdoj.gov or 1-888-549-9901 #3
Audit Reports

- Due 9 months after the close of your agency’s fiscal year

- State and local governments, institutions of higher education, and nonprofit institutions must submit reports to:

  Federal Audit Clearinghouse
  Bureau of the Census
  1201 East 10th Street
  Jeffersonville, IN 47132
  http://harvester.census.gov/sac/
Grant Adjustment Notices (GANs)

- Submitted via GMS for changes to your program

- GANs must be submitted via the GAN module in GMS

- Provide reasons for the proposed change
Grant Adjustment Notices (GANs)...

- Project Period Extension
  - May not be for more than 12 months past the original end date, unless there are extraordinary circumstances
  - Must be requested through GMS no later than 45 days before the current end date
Grant Adjustment Notices (GANs)...

- Project Period Extension (cont’d)
  
  - Request must include:
    - the amount of additional time needed
    - why the extension is necessary
    - why the project activities were not completed within the original time period
    - what you intend to do in the extended time
    - the most recent unobligated balance
Grant Adjustment Notices (GANs)...

• Project Scope – prior approval needed when the changes include:
  
  – altering programmatic activities, or

  – affecting the purpose of the project, or

  – changing the project site, or

  – changing a subgrantee
Grant Adjustment Notices (GANs)...

• Budget Revision – prior approval needed when proposing these changes:
  – 10% rule exceeded
  – Unapproved budget category
  – Scope of project
  – Indirect costs
Grant Adjustment Notices (GANs)...

• Sole source
  – Non-competitive contract over $100,000

• Consultant rates
  – Restricted to $450 per 8-hour workday
  – Can submit GAN for more than $450 per day
Grant Closeout

- **Standard**- Grantee expended all funds and/or completed the activities by the official end date (or earlier)

- **Administrative**- Initiated by OJP when the grantee is unwilling/non-compliant or unable to complete closeout requirements
Closeout Timeline

• Submit final documents and complete requirements within 90 days after the end of date of the grant.

• On 91st day after the grant end date, GMS will automatically “freeze” funds and start administrative closeout.

**TIP:** Start the closeout process as soon as the program is completed and all monies have been spent.
Grant Closeout

- All program expenses must be obligated by the last day of the project period

- Any unobligated funds will be de-obligated

- All costs must be liquidated (expended) no later than 75 days after project period ends

- Any funds that were drawn down in excess of expenditures must be returned
Closeout Components

- Final Progress Report
- Final SF-269A
- Financial Reconciliation
- Special Condition Compliance
- Programmatic Requirements Certification
Methods of Grant Monitoring

- Programmatic Monitoring
  - Desk Reviews
  - Onsite Visits
  - Conferences
- Financial Monitoring
- Audits
Programmatic Grant Monitoring

- Compliance
- Stewardship
- Program implementation
- Guidance
- Knowledge transfer
- Training and technical assistance
Monitoring Site Visit: Preparation

- Coordinate date/agenda
- Pre-visit contact letter
- Entrance interview
- Meet key staff
- Exit interview
- Post-visit follow-up
Monitoring Site Visit: Process

- Financial, programmatic, & administrative review

- Assess actual vs. planned progress

- Indicate areas for improvement
Monitoring Site Visit: Post-visit

**Letter – No Finding**
- 45 days
- Results of visit
- Best practices

**Letter - Finding**
- 45 days
- Findings
- Corrective action plan
Top Ten Audit Findings

- Untimely report submissions
- Lack of documentation
- Inadequate monitoring of subrecipients
- Inadequate time/effort reports
- Inaccurate reports (Financial Status Reports)
- Commingling of funds
- Excess cash on hand
- Unallowable costs
- Inappropriate changes
- Conflicts of interest
BJA provides onsite & offsite technical assistance.

To request TA you must submit TA request form.

Questions?
Your State Policy Advisor or the T/TA Coordinator at BJATrainingTA@usdoj.gov
In a Nutshell: Keys to Effective Management

- Utilize resources
- On-going communication
- Keep information current
- Submit reports on time
- Check status of GANs
Helpful Links

- **BJA Website**: [www.ojp/usdoj.gov/BJA](http://www.ojp/usdoj.gov/BJA)


- **GMS and Online SF-269 System**: [https://grants.ojp.usdoj.gov/](https://grants.ojp.usdoj.gov/)

- **Customer Service**: 888.549.9901
  - OCFO Customer Service (option 2) & GMS Helpdesk (option 3)

- The **OJP GMS On-line Training Tool** provides step-by-step instructions to complete various functions within GMS [http://www.ojp.gov/gmscbt/](http://www.ojp.gov/gmscbt/)

- **Information on Reentry Initiative**: [www.ojp.usdoj/reentry/learn.html](http://www.ojp.usdoj/reentry/learn.html)
Questions?

Your BJA State Policy Advisor Staff listing and contact information is available at:

www.ojp.usdoj.gov/BJA/resource/stcont.htm