2019 Second Chance Act Grantee Orientation

October 24, 2019

BJA Bureau of Justice Assistance U.S. Department of Justice

the NATIONAL REENTRY RESOURCE CENTER

CSG | Justice Center

Speakers

BUREAU OF JUSTICE ASSISTANCE (BJA)

Ruby Qazilbash, Associate Deputy Director for Justice Systems Policy

Andre Bethea, Policy Advisor

Zafra Stork, State Policy Advisor

E. Tracey A. Willis, State Policy Advisor

Jennifer Lewis, State Policy Advisor

Jennifer Johnson, Senior Research Associate

Finesse Moreno-Rivera, Research Associate

OFFICE OF JUVENILE JUSTICE AND DELINQUENCY PREVENTION (OJJDP)

Kathy Mitchell, Program Manager

THE COUNCIL OF STATE GOVERNMENTS (CSG) JUSTICE CENTER

Nicole Jarrett, Director, Corrections and Reentry

October 30, 2019

Agenda

1. **Welcome and Congratulations**

2. **Introduction to the National Reentry Resource Center (NRRC)**

3. **Post-Award Grant Management and Federal Compliance**

4. **Questions and Answers**

The Council of State Governments Justice Center

Mission

We develop research-driven strategies to increase public safety and strengthen communities.

Who We Are

We combine the power of a membership association, representing state officials in all three branches of government, with the expertise of a policy and research team focused on assisting others to attain measurable results.

The U.S. Department of Justice Bureau of Justice Assistance

Mission

To provide leadership and services in grant administration and criminal justice policy development to support local, state, and tribal justice strategies to achieve safer communities.

![BJA - Bureau of Justice Assistance - U.S. Department of Justice]

www.bja.gov

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# The Office of Juvenile Justice and Delinquency Prevention

Mission

OJJDP provides national leadership, coordination, and resources to prevent and respond to juvenile delinquency and victimization. OJJDP supports the efforts of states, tribes, and communities to develop and implement effective and equitable juvenile justice systems that enhance public safety, ensure youth are held appropriately accountable to both crime victims and communities, and empower youth to live productive, law-abiding lives.

www.ojjdp.ojp.gov

The Second Chance Act
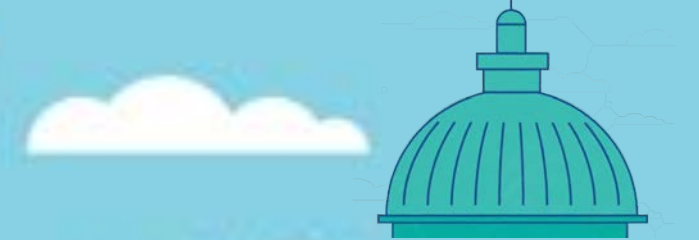
- The Second Chance Act (Public Law 110-199), passed in 2008, supports state, local, and tribal governments and nonprofit organizations in their work to reduce recidivism and improve outcomes for people leaving incarceration.

- The Second Chance Act provides for the NRRC and has supported over $400 million in reentry investments across the country.

- Passed in 2018, the Second Chance Reauthorization Act builds on and strengthens the initial landmark legislation.

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2019 Second Chance Act (SCA) Grantees
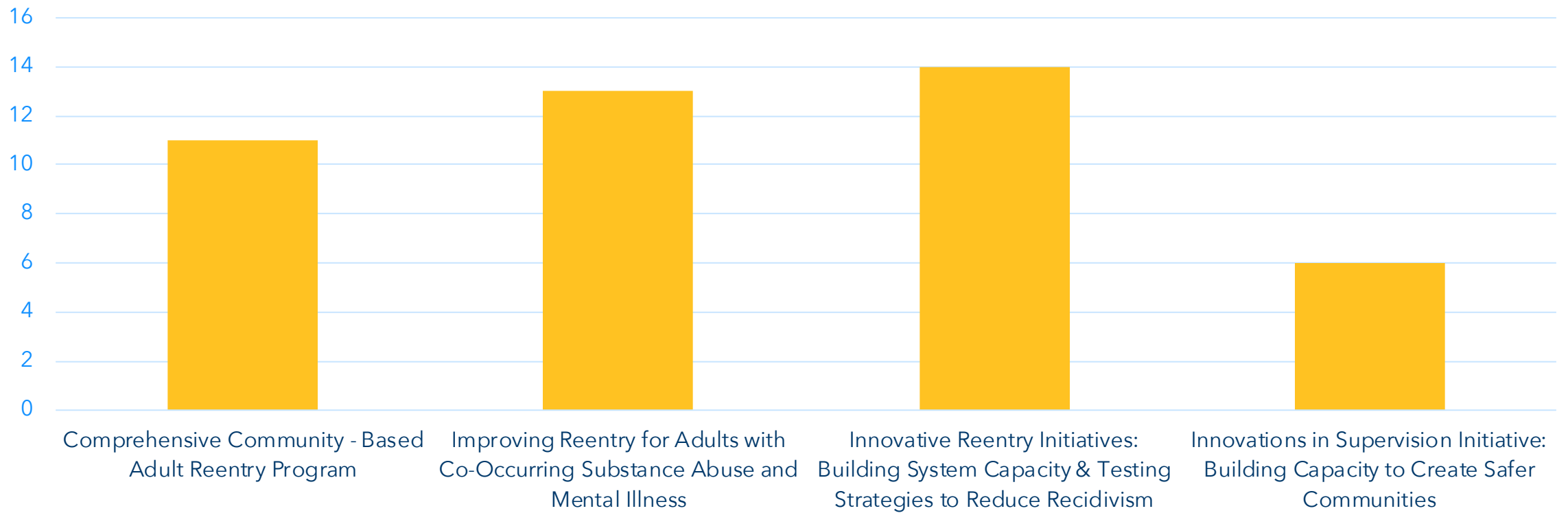
- **44 Adult Grantees**
  Grants funded and administered by BJA

- **16 Juvenile Grantees**
  Grants funded and administered by the OJJDP

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2019 SCA Juvenile Grantee Cohort

16 Grants Awarded Across Two Programs

10	
9	
8	
7	
6	
5	
4	
3	
2	
1	
0	

Addressing the Needs of Incarcerated Parents and Their Minor Children

Youth Offender Reentry Program

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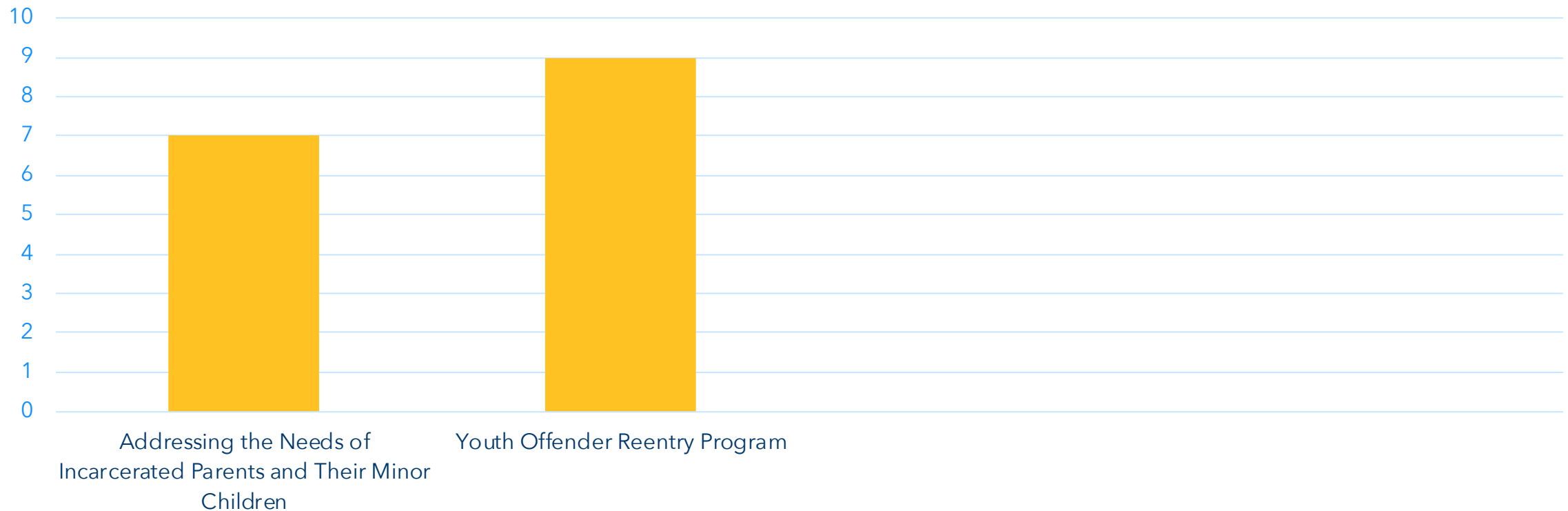
Expectations for SCA Grantees

✓ **Meet** your proposed project objectives by completing funded activities on time.

✓ **Complete** your Planning or Planning and Implementation Guide.

✓ **Use validated risk and needs assessment** instruments and the most appropriate evidence-based practices to serve your target populations.

✓ **Track your progress** and complete a project evaluation.

✓ **Communicate regularly** with your technical assistance (TA) provider and seek help when needed.

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What SCA Grantees Can Expect

Ongoing and timely support from:

- BJA and OJJDP program and policy staff
- The National Reentry Resource Center
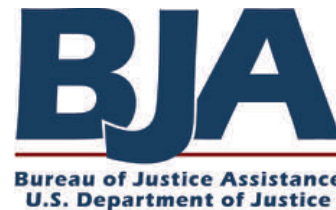
- **Delivers** technical assistance (TA) and training for Second Chance Act grantees

- **Advances** the knowledge base of the reentry field

- **Promotes** what works in reentry and successes of grantees

- **Facilitates** peer networks and information exchange

- **Provides** information for people returning to communities and their families

the NATIONAL REENTRY
RESOURCE CENTER

NationalReentryResourceCenter.org

Latest News and
Resources in Reentry

National Criminal Justice
Initiatives Map

Directories for State and
Local Reentry Services

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The Role of the NRRC Provider

Assist you in achieving your project goals and activities as well as reflect the unique characteristics and resources of each jurisdiction.

Connects you to subject matter experts

Recommends publications and online resources

Hosts peer learning communities

The Role of the NRRC Provider

Shares evidence-based practices and promising strategies to overcome implementation barriers

Promotes innovative work being done by SCA grantees

Works closely with BJA to promote grant management and reporting requirements

Transition of the NRRC

The role of the NRRC will remain the same as the work transitions to the American Institutes for Research (AIR)

Moving from Planning to Implementation

- During the **planning phase**, grantees will have access to a specified, limited amount of grant funds to support planning activities

- Grantees will work with their TA coach to complete their Planning and Implementation (P&I) Guide

- Once the P&I Guide is approved by BJA, grantees will move into the **implementation phase** and gain access to the remainder of their grant funds

Planning and Implementation (P&I) Guide

- Refine implementation goals and activities, grantee and partner roles, and evaluation and data collection timelines and tasks

- Opportunity to address updates or developments since original application (Note: some changes will require BJA approval)

- Use completed guide to track progress and make adjustments to maximize positive outcomes

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Overview

- Special Conditions
- Reporting
- Financial Information
- Procurement/Subawards
- Subrecipient Monitoring

- Federal Reporting Requirements (FFATA & FAPIIS)
- Grant Adjustment Notices (GANs)
- Grant Monitoring Compliance
- Additional Information and Resources

Special Conditions

- **Special conditions are terms and conditions that are included with the award.**

- Special conditions are additional requirements covering areas such as programmatic and financial reporting, prohibited uses of Federal funds, consultant rates, changes in key personnel, and proper disposition of program income.

- There are several mandatory special conditions that will be included on any DOJ award. A list of all the mandatory OJP special conditions are available at the following link – https://ojp.gov/funding/Explore/LegalOverview2019/MandatoryTermsConditions.htm

Withholding Special Conditions

- **Additional withholding special conditions** - These conditions place holds on funds for overdue reports and/or pending budget approval, other program requirements including documentation that was missing or incomplete during grant application review.

- **Planning/Action Plan requirement** – Many of your awards have built in a planning period, leading to the development of a Planning and Implementation Guide or Action Plan. This comprehensive project plan is developed with your National Reentry Resource Center (NRRC) technical assistance coach and program partners. Therefore these awards also include a related withholding special condition limiting spending until the required planning documents are submitted and approved.

- It is important to work with your State Policy Advisor to remove any active withholding special conditions before your agency can to expend, obligate or draw down award funds.

Progress Reporting Requirements

- **Quarterly Performance Metric Tool (PMT) Programmatic reports: Submitted in PMT ONLY!**

- PMT Website - https://bjapmt.ojp.gov/

Reporting Period	Due Date
January 1 – March 31	April 30
April 1 – June 30	July 30
July 1 – September 30	October 30
October 1 – December 31	January 30

Progress Reporting Requirements

- **Semi-Annual Grants Management System (GMS) Programmatic reports:** **Submitted in GMS**

- GMS Website - https://grants.ojp.usdoj.gov

- January 30 and July 30
- Upload PDF versions of your PMT to the report in GMS- **The systems are not linked**
- Requires responses to BJA Seven Narrative Questions
- **FINAL PROGRESS REPORTS: If your grant requires an evaluation as part of the project you must attach the evaluation report under the Final Progress Report in GMS.**

- NOTE: GMS automatically freezes grant funds for delinquent reports. It is important to submit reports on time. Late reports also influence how your award is risk assessed by OJP.

Court & Criminal Involvement (CCI) Data Reporting

- Grantees are required to track participants by unique identifiers for court and criminal involvement (recidivism data) during the award period and one year after release. Chief executives from organizations are required to sign and submit an assurance that all participant recidivism indicator data will be collected and submitted. Your program and evaluation and data collection plan must incorporate these requirements.

- Court and criminal involvement data must be collected throughout the award period, and reported in the FINAL PMT report. You must report quantitative, verifiable data on the following performance measures:

   1. Arrested and Booked on a New Charge
   2. Conviction for a New Charge
   3. Revocation of the Terms of Supervised Release
   4. Reincarceration

Federal Financial Reports SF-425

Reporting Period	Due Date
January 1 – March 31	April 30
April 1 – June 30	July 30
July 1 – September 30	October 30
October 1 – December 31	January 30

- Submitted in GMS: https://grants.ojp.usdoj.gov

- No activity? Enter 0.

- FFR Training and Technical Assistance Guide
  https://ojp.gov/funding/Implement/Resources/FederalFinancialReportUserGuide.pdf

- For help with Federal Financial Reports, please contact OCFO Customer Service by phone at 1-800-458-0786 (option 2), or by email at ask.ocfo@usdoj.gov.

Grants Financial Management Training

- Completion of this required training (FY 16 and beyond) for award POCs and Financial POCs must be finished within 120 days of award acceptance. Failure to comply will result in a withholding special condition.

- Grants Financial Management Online Training - 24 module training emphasizing the basics of federal grants management. For information on the online training go to: https://onlinegfmt.training.ojp.gov/

- The required training is also offered an in person format. For more information please go to: https://gfmts.training.ojp.gov/index.html

- Recertification is required, to remain in compliance with the financial management training must be successfully completed every (3) three years.

Subawards and Procurement Contracts

- The proper determination of whether a pass-through entity is a subaward or procurement contract is critical, as significantly different requirements apply based on this determination.

- **The substance of the relationship should be given greater consideration than the form of agreement between the prime recipient and the outside entity.**

- If you delegate program activities to another entity (individual consultant or organization), that delegation will generally be considered a subaward. Most pass-through entities on your awards, are programmatic and substantive and are therefore should be classified as subawards.

- <u>TIP</u>: *In any OJP award in which the recipient entity proposes to "collaborate" (or "partner") with another entity to accomplish its work (particularly when the OJP solicitation requires or encourages such a collaboration), an agreement by the recipient to pay the collaborator is very likely to be a "subaward", as determined by federal grants administrative requirements, rather than a "procurement contract under the OJP award." Specifically, program evaluators and research partners are award collaborators, and therefore are to be classified as subawards.*

Subawards and Procurement Contracts

- For additional guidance on subawards and contracts, please review the subaward/contract toolkit, checklist and sole source justification fact sheets:

- https://ojp.gov/training/pdfs/Subaward-Procure-Toolkit-D.pdf

- https://ojp.gov/training/pdfs/Subrecipient-Procure-cklist-B.pdf

- https://ojp.gov/training/pdfs/Sole-Source-FactSheet-C.pdf

Subrecipient Management and Monitoring Requirements

- **Recipients must have written subrecipient monitoring policies and procedures that meets the requirements under 2 CFR 200.331.**

- The purpose of monitoring activities is to provide reasonable assurance that the subrecipient has administered the pass-through funding in compliance with the same laws, regulations, and the provisions of the award and that the required performance goals are being achieved.

Subrecipient Management and Monitoring Requirements

- Key components to effective subrecipient/subaward monitoring include:

  1. A subaward agreement that specifies task and requires progress and financial reporting, as well as possible noncompliance penalties and termination procedures.

  2. Monitoring policies and procedures.

  3. A risk-based monitoring plan for selecting subrecipients to monitor.

  4. A process for on-site monitoring including a monitoring checklist that satisfies administrative, financial, and programmatic elements; process for documenting findings in a report; and procedures for follow-up on issues for resolution.

FFATA Reporting

- *Reported at the end of the month following subaward.*

- The Federal Funding Accountability and Transparency Act (FFATA) requires information on federal awards be made available to the public via a single, searchable website, www.USASpending.gov.

- FSRS (www.fsrs.gov) is the FFATA Subaward Reporting System used to capture and report sub-award and executive compensation data regarding the first-tier sub-awards to meet the FFATA reporting requirements.

- Prime recipients of awards $25,000 or more report on any first-tier subawards of $25,000 or more (effective October 1, 2010).

- To help navigate the submission process, user guides, FAQs, helpdesk and online demos are available at www.fsrs.gov/resources.

- For more information about FFATA, see https://ojp.gov/funding/Explore/FFATA.htm.

FAPIIS Reporting

- The Federal Awardee Performance and Integrity Information System (FAPIIS) requires grantees to report information on certain civil, criminal, and administrative proceedings submitted to the federal designated integrity and performance system (currently, "FAPIIS") within the System for Award Management ("SAM") https://www.fapiis.gov/fapiis/index.action.

- OJP grants and cooperative agreements that exceed $500,000 typically will include a condition that requires the recipient -- if the total value of its currently active grants, cooperative agreements, and procurement contracts from all federal agencies exceeds $10 million, as set out in the condition -- to report particular information on civil, criminal, and administrative proceedings connected with (or connected to the performance of) either its OJP award or any other grant, cooperative agreement, or procurement contract from the federal government. For more information go to http://ojp.gov/funding/FAPIIS.htm.

Grant Adjustment Notices (GANs)

- A GAN is used to request project changes and/or corrections.

- Once OJP makes a decision regarding the proposed change, the grantee is notified by GMS via e-mail. This is why you need to have the correct person assigned as Point of Contact in GMS.

- GANs are submitted and approved through GMS. GAN types include:
  - Budget Modifications
  - Change of Scope
  - Project Period
  - Point of Contact Information
  - Removal of Special Conditions
  - Sole Source (Non competitive procurement contract >$250,000)
  - Program Office Approval
  - Costs Requiring Prior Approval (e.g. consultant rates >$650 per day)

- GANs will not be approved if the grantee is delinquent on financial or programmatic reporting.

GAN: Change of Project Period No Cost Extension

- Must be requested through GMS at least 30 days prior to the current end date

- Generally, no more than one no-cost extension may be made to an award;

- A no-cost extension may not exceed 12 months past the original end date;

- A no-cost extension may be made only if the period of performance has not expired;

- A no-cost extension may be made only for award recipients that have no significant performance or compliance issues

BJA Compliance Monitoring

- BJA will conduct formal monitoring activities (site visits and desk reviews) of grant recipients to ensure grantee is:

    – conducting activities that were proposed and approved;

    – meeting programmatic, administrative, and fiscal requirements;

    – identifying and resolving problems and/or issues; and

    – receiving needed training and guidance.

BJA Compliance Monitoring

- **Common Issues For Resolution**:

- Unauthorized obligation of funds in violation of grant withholding special conditions and/or prior to budget clearance.

- Incorrect classification of subaward as a procurement contract.

- Use of funds for consultant rates in excess of $650 per day (or $81.25 per hour) without explicit prior approval from BJA via GAN.

- Accounting policies and procedures are not documented or need improvement, and lack of tracking award expenditures by approved budget category.

- Indirect cost rate charged improperly (rate expired) – lack of budget modification GAN submission to reflect current rate agreement.

BJA Compliance Monitoring

- **Common Issues For Resolution (continued)**:
- Lack of subrecipient monitoring policies and procedures that meet the requirements of 2 CFR 200.
- Non submission of GANs for preapproval of award changes including scope, subrecipients, budget, target population, and assessment tools, etc.
- Lack of compliance with FFATA reporting requirements.
- Lack of documentation to support match activities and expenditures.
- Lack of documentation to support performance measurement data.

Top Single Audit Findings (FY2016)

- Below are the most common findings from audits of DOJ awards in FY 2016, the most recent year for which this information is available:
    - Procedures not documented or need improvement.
    - Special conditions not met by grantee.
    - Federal Financial Reports (FFR) not accurately prepared.
    - Debarment and Suspension – verification not performed or not properly documented.
    - Federal Financial Reports (FFR) not submitted timely.
    - Accounting system inadequate or not effectively utilized to account for grant funds.
    - Excess cash-on-hand.
    - Subrecipient monitoring not being conducted.
    - Federal Financial Reports (FFR) amounts did not reconcile to grantee's accounting system.
    - Progress reports not timely submitted.

Additional Information

- BJA Website: https://www.bja.gov/

- State Policy Advisors: https://www.bja.gov/About/Contacts/ProgramsOffice.html

- Current BJA funding opportunities and FAQs concerning BJA funding: https://www.bja.gov/funding.aspx

Other Important Links

- BJA Grant Writing and Management Academy (five online training modules for the life of the grant including managing federal funds, strategic planning, and budgets): https://www.bja.gov/gwma/index.html

- Grants Management System (GMS): https://grants.ojp.usdoj.gov/
  - GMS FAQs https://grants.ojp.usdoj.gov/gmsexternal/gmsHelp/gms_faq.htm
  - GMS Training Tool: http://www.ojp.gov/gmscbt/
  - GMS Help Desk: 1-888-549-9901

- BJA Performance Tools (PMT): https://bjapmt.ojp.gov/
  - PMT Help Desk: 1-888-252-6867

- OJP award great online resources:
  - OJP Grants 101: http://www.ojp.gov/grants101/
  - OJP Funding Resource Center http://ojp.gov/funding/index.htm
  - Post Award Instructions https://ojp.gov/funding/Implement/Resources/PostAwardInstructions.pdf

- OJP Standard Forms & Instructions: https://ojp.gov/funding/Apply/forms.htm

BJA SCA State Policy Advisors

- **Jennifer L. Lewis**
- Jennifer.L.Lewis@ojp.usdoj.gov 202-305-8064

- **E. Tracey A. Willis**
- Tracey.Willis@ojp.usdoj.gov 202-305-1766

- **Zafra Stork**
- Zafra.Stork@ojp.usdoj.gov 202-307-0613

If you have questions not covered in this presentation, please contact your assigned BJA State Policy Advisor directly.

What is the Performance Measurement Tool (PMT)?

https://bjapmt.ojp.gov

- BJA's PMT is the online system required for grantee performance measurement reporting.

- It is structured as an online questionnaire.

- Grantees are required to report in PMT every quarter by the following due dates:

  - By April 30 (for January – March activities)

  - By July 30 (for April – June activities

  - By Oct 30 (for July – September activities)

  - By January 30 (for October – December activities)

WHY DO WE HAVE PERFORMANCE MEASURES? WHAT DATA DO THEY COLLECT?

BJA
Bureau of Justice Assistance
U.S. Department of Justice

Why

To identify areas of success and potential areas of improvement

To track activity and progress

To understand how funds are being distributed

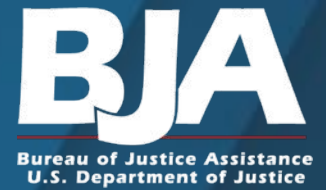To comply with the law (Government Performance and Results Modernization Act of 2010)

What

Program Performance Measures collect quantifiable and short answer data on program activities funded by the grant award.

Narrative Questions are qualitative questions asked of all BJA grantees about program goals, objectives, and more.

Performance Measure Questionnaire Links and Points of Contact

PMT Questionnaire Links

Innovations in Supervision (ISI): https://bjapmt.ojp.gov/help/SSPMeasures.pdf
Innovations in Reentry (IRI): https://bjapmt.ojp.gov/help/scareentryquestionnaire.pdf
Comprehensive Community-Based Adult Reentry: https://bjapmt.ojp.gov/help/scamentoringquestionnaire.pdf
Co-Occurring Substance Abuse and Mental Illness: https://bjapmt.ojp.gov/help/scaco-occurringquestionnaire.pdf
Supplemental Health Care related questionnaire for all programs:

> Use the questionnaires as a guide to track and compile data outside of the PMT tool throughout the quarter. Then log in to the PMT to enter data at the end of the quarter.

Points of Contact

For help interpreting Performance Measure questions:

For ISI:

Finesse Moreno-Rivera

Finesse.S.Moreno-Rivera@ojp.usdoj.gov

For IRI, Community-Based, and Co-Occurring:

Jennifer Johnson

Jennifer.M.Johnson@ojp.usdoj.gov

For help on system-related issues:
BJA PMT Helpdesk

1-888-252-6867, bjapt@ojp.usdoj.gov

Questions and Answers

Thank you!

Join our distribution list to receive National Reentry Resource Center updates!

csgjusticecenter.org/subscribe

For more information contact: Nicole Jarrett at njarrett@csg.org