

# Illinois Criminal Justice Information Authority Federal and State Grants Unit

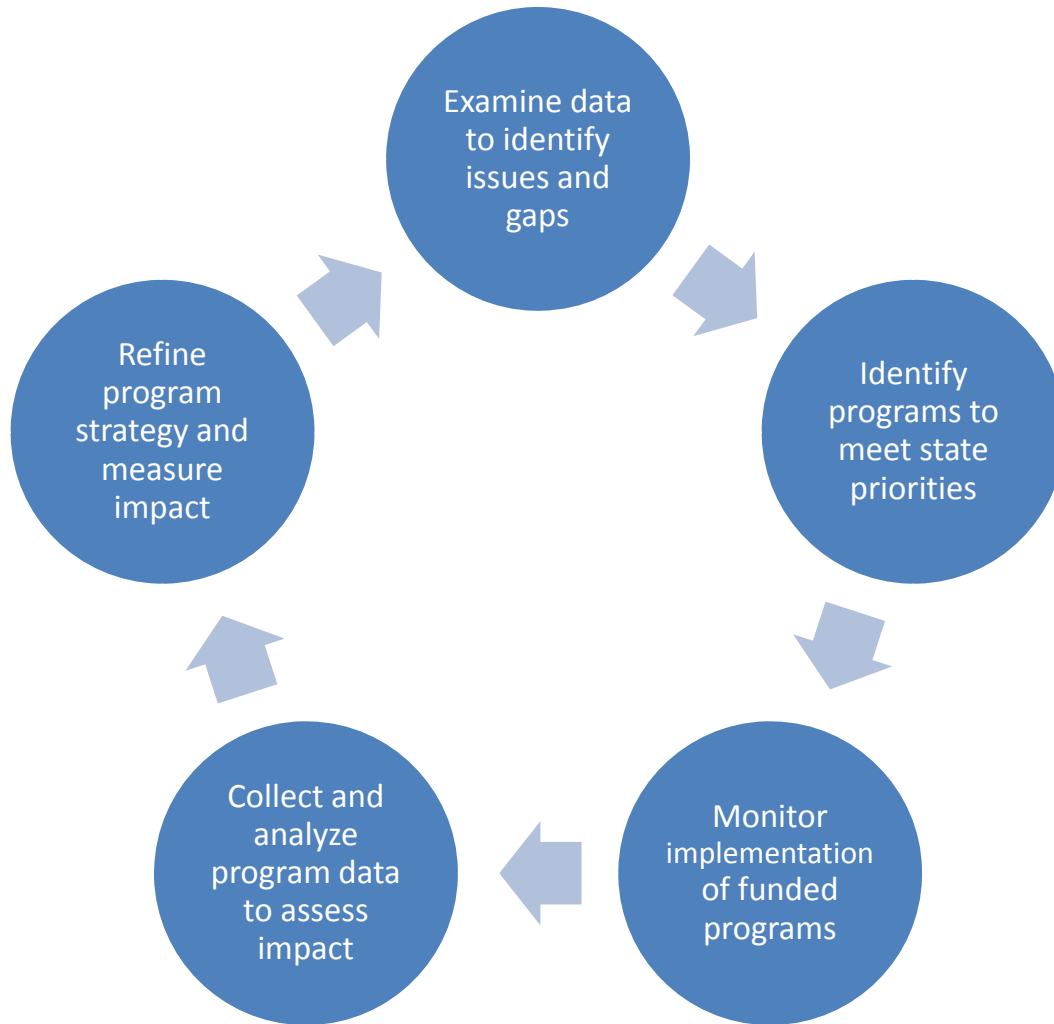
A guide for grantees

## Role of the ICJIA Federal & State Grants Unit (FSGU)

- Apply to the federal government for available federal formula and discretionary awards.
- Work with ICJIA Board and Budget Committee to identify state funding priorities for the use of these funds.
- Enter into interagency agreements with funded agencies.

## Role of ICJIA Federal & State Grants Unit (FSGU)

- Monitor compliance with federal guidelines.
- Disburse funds.
- Collect program data and assess impact.
- Report on progress and use of funds to Authority Board and federal funders.



## ICJIA awards are determined via:

- Needs-based allocations.
- Competitive bidding through requests for proposals (RFP).

## Needs-based allocations

To make needs-based allocations, ICJIA:

- Identifies state priorities through data evaluation and stakeholder input.
- Designates funds to identified *needs*, not agencies.
- Identifies potential grantees through data analysis.
- Conducts outreach to potential grantees.
- Develops of funding recommendations.
- Works with grantees to build programs that address a state priority.

## Competitive bidding

In competitive bidding, ICJIA:

- Identifies state priorities.
- Issues a competitive request for proposals (RFP).
- Reviews and ranks proposals using an objective scoring criteria.
- Develops funding recommendations based on ranked scoring.

## RFP process

Electronic submission of the following is required:

- Cover Page
- Program narrative
- Budget/Budget Narrative
- Required certifications



Proposals must be submitted  
by the deadline.

*Late submissions cannot be scored*

## Grant selection process

- RFP Selection Committee reviews materials and recommends fund designations.
- Selection Committee may reduce or eliminate line items, or tighten the focus of the funded program.

## Grant selection criteria

- Completeness of submission.
- Description of the problem.
- Proposed program as a solution to the problem.
- Implementation plan.
- Reasonable and accurate budget.

## Grant process

- Funding recommendations must be reviewed and approved by the Authority Budget Committee before a program can be initiated.
- Budget Committee meets at least four times per year.

## Authority Agreements

ICJIA grant agreements include, at minimum:

- Cover Page
- Terms of the agreement
- Program narrative – Exhibit A
- Budget/Budget Narrative – Exhibit B
- Required certifications

## Implementing agency vs. program agency

- An implementing agency is the legal entity that receives federal funds.
- A program agency
  - Is a subdivision of the implementing agency.
  - Carries out program operations.
  - Is responsible for data and fiscal reporting.

# Implementing agency vs. program agency

- *Examples:*
  - City of Chicago is the implementing agency for the Chicago Police Department.
  - County of Franklin is implementing agency for the Office of the Franklin County State's Attorney.
  - Illinois Department of Corrections is both the implementing and program agency.

# Transparency Act Compliance

- All ICJIA grantees must comply with the Federal Funding Accountability and Transparency Act of 2006
- For each grant, *both* the implementing Agency and the program agency must provide:
  - DUNS number : [www.dunandbradstreet.com](http://www.dunandbradstreet.com)
  - CCR registration: [www.ccr.gov](http://www.ccr.gov)
  - CAGE Code: Incorporated into the CCR registration



## Additional requirements:

- *Signed debarment certifications*
- *Signed implementing agency EEO and Civil Rights Act certifications*
- *Signed program agency EEO and Civil Rights Act certifications*

# Additional requirements for not-for-profits

- Secretary of State Good Standing
- IRS tax-exempt determination letter dated within the last five years.
- State of Illinois W-9 form

## Agreement negotiation

- Grantee and FSGU staff negotiate the program narrative and budget materials to ensure clarity and allowability.
- Final draft submitted for internal Authority review.

## Grant process

- Internal review by Authority legal and fiscal staff for accuracy and allowability.
- Once approved, the interagency agreement is sent to the grantee for signature.
- Signed agreement and all required certifications returned to the Authority for final review and execution by Authority Executive Director.

## Required documents returned with signed agreement

- Fiscal Information Sheet
- Initial Cash Request (ICR)
- EEOP certifications
- Civil Rights Act certifications
- Debarment certification

# Disbursals

- Authority authorizes a first disbursement of federal funds using the ICR.
- Initial disbursement will be in the amount of the program's expected expenses for the first 60 days of the grant.
- Subsequent disbursements are made using quarterly fiscal reports submitted to the Authority.

# Disbursals

- Made by the Office of the Illinois Comptroller.
- First disbursal may take as long as six weeks.
- Subsequent disbursals may be made in approximately two weeks.

## Online disbursal tracking

[Visit the State of Illinois Comptroller](#)



## ICJIA reporting responsibilities

- Grant monitors collect data and fiscal reports from grantees on the calendar quarter. Monthly reporting may be required.
- ICJIA submits quarterly fiscal reports to the US Department of Justice (DOJ).
- ICJIA submits data/progress reports to DOJ for each award administered on schedules set by DOJ.

# Grantee reporting requirements

- Quarterly fiscal and data reports must be submitted to the Authority for each calendar quarter.
- ICJIA reserves the right to require monthly reporting.
- Reports are due 15 days after the conclusion of the reporting period.

# Grantee quarterly report deadlines

<b>Reporting period</b>	<b>Report deadline</b>
January – March	April 15
April – June	July 15
July – September	October 15
October – December	January 15

## Fiscal reports

- Report actual expenses charged to the grant.
- Require exact figures. No rounding.
- Include only expenses paid during the quarter.

## Fiscal reports

- Must be signed by two people:
  - Report preparer
  - Report approver
- Final fiscal report summarizes all grant expenditures.

# Reporting Requirements

- Data reports include:
  - Fund-specific federal performance metrics.
  - Project-specific performance indicators.
  - Demographic information.
  - Narrative addressing successes and speed bumps.
  - Narrative that illustrates grant activity.

## Fiscal and data report files

Emailed upon execution of the agreement.

## ICJIA site visits

Meetings with grant staff  
to review guidelines, reporting,  
and program development



# Exhibit A

## Program narrative

- Provides a clear picture of the problem being addressed by the program, the program's solution, and activities to address the solution.

## Budget/budget Narrative

- Cost estimates of approved program expenses.
- Cost estimates rounded to the nearest dollar.
- Each line of the budget must be accompanied by a brief description in the budget narrative, including calculations of estimated costs.

## Federal guidelines

- In addition to ICJIA's grant guidelines, grantees must adhere to the laws, rules, and regulations set forth by the Office of Justice Programs.
- *Read the [OJP Financial Guide](#).*

# Supplanting

- Definition: To deliberately reduce or reallocate state, local, or agency funds due to the existence of the federal funds.
- Federal funds must increase or supplement the funding available for criminal justice system activities.
- Grantees must maintain a level of state, local, or agency financial support that is equal to or greater than the level prior to receiving the federal funds.

## Supplanting examples

### Question

Save Our Youth Services employs a youth outreach worker for 20 hours per week. The program received funding to make this staff member full-time. Can the additional hours be charged to the grant?

## Answer

Yes, but the staff member must keep a timesheet detailing the time they worked on the funded program.

# Supplanting examples

## *Question*

What if the youth outreach worker was already full-time and Save Our Youth Services applies for staff funding to support a 20-hour per week gang outreach program. Can hours completed by that full-time staff member be charged to the grant?

## *Answer*

- If no additional staff are hired, charging 20 hours of the worker's time to the grant would be supplanting as part of his original salary would be saved through grant funding.
- A new 20-hour position may be created and filled using Save Our Youth Services' original funding, however.



# Grantee procurement requirements

## *The rule to remember:*

All procurement transactions must be conducted by the grantee in a manner to provide, to the maximum extent practical, **open and free competition**.

# Procurement requirements

- Records must be maintained detailing the procurement.
- If the grantee's internal requirements are more competitive, the more competitive requirements must be followed.

## Procurement guidelines

All procurements must be competitive:

- Publically post employment opportunities
- IFBs, RFPs
- At least three quotes from vendors

# Subcontracting

- Authority-funded RFPs and subcontracts over \$100,000 require *prior* Authority review and approval.
- The Authority reserves the right to require the review and approval of RFPs and subcontracts under \$100,000.
- Additional information required for *prior* Authority review and approval of sole source procurements.

## Sole source procurements

- Additional justification is required when there is only one vendor from which the grantee can procure the necessary goods or services.
- Sole source justification is also necessary when the RFP process results in only one bid.

## Sole source example

- A probation department has a grant to provide substance abuse services to probationers. The department posted an Authority-approved RFP to identify a contractual service provider. Only one agency bid on the RFP.

*What step does the probation department take next?*

## Sole source example

- The probation department must submit a completed sole source justification to the Authority describing the procurement process and seeking permission to enter into the vendor contract.

## Recordkeeping and retention

- Property acquisition and disposition records are required for property purchased with federal funds.
  - At the close of the agreement, funded agencies will submit a property inventory.
  - Contact ICJIA **before** disposing of any equipment.



# Recordkeeping and retention

- Minimum three-year record retention requirement:
  - Financial and program records must be retained for at least three years after expiration of grant agreement or closure of most recent audit report, whichever is later.
  - Property records must be retained for at least three years after disposition.

## Cost allowability

- Program costs must be:
  - Necessary to the performance of the project.
  - Reasonable.
  - Incurred during the grant period of performance.
  - Allocable to the project.
  - Permissible under state and federal laws and regulations.
  - Not resulting in profit.
  - Claimed only against one award.
  - Adequately documented.

## Cost allowability

Costs may only be incurred *during* the grant's period of performance

# Cost allowability example

## *Question*

A JAG grant funds conference travel for two grant-funded prosecutors. The grant ends October 31, 2012. Can the trip take place November 5, 2012, and still be charged to the grant?

## Cost allowability example

### *Answer*

No. All costs must be incurred and all activities must take place before the end of the agreement's period of performance.

## Unallowable Costs

- Costs to lease implementing agency-owned equipment
- Rent of agency-owned space
- Interest
- Costs incurred before or after the period of performance
- Fundraising
- Lobbying

## Administrative costs

Grantees cannot recoup administrative costs for existing staff or expenses.

# Questions?

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