# Managing Your Award Effectively

## The Path to Programmatic Success

### OJJDP Grant Program Requirements and Establishing a Working Relationship with OJJDP

# Section I
# Managing Your Award

- Award Package
- Special Conditions
- Progress and Financial Reporting
- Budget & Expenditure Tracking
- Using Grants Management System (GMS)

# The Award Package

- Letter from the Assistant Attorney General
- Letter from the Director of the Office of Justice Programs, Office for Civil Rights
- Letter from the Office of Justice Programs Chief Financial Officer if budget was approved
- Award Document
  - Award Number (Reference on all OJJDP correspondence)
  - Start and End Dates
  - Amount of Award
  - Project Title
  - Special Conditions
- Memo from the OJJDP National Environmental Policy Act (NEPA) Coordinator

# Special Conditions

- Standard:
  - Office of Justice Programs Financial Guide http://www.ojp.usdoj.gov/financialguide/
  - Civil Rights
  - Audit Requirements
  - Use of Federal Funds
  - Reporting Requirements (CAPR, SF425, DCTAT)
  - Limit on Grantees' Salaries
  - Budget Clearance
- Some special conditions impact grantee's access to funds
- Must be in compliance with all for a grant to be closed

# Semi-Annual Progress Reports

| Reporting Period | Delinquent After |
| --- | --- |
| July 1 – December 31 | January 30 |
| January 1 – June 30 | July 30 |

- Report narrative should include progress made toward each goal and objective as submitted in application.
- Upload report narrative as a separate attachment into GMS.
- Upload separate attachment into GMS containing data on mandatory performance measures from the online reporting tool called the Data Collection and Technical Assistance Tool (DCTAT).

- Note: Final Report is cumulative covering accomplishments over entire project period.

# Progress Report Requirements

The reporting requirements are designed to provide the grantor agency with sufficient information to monitor grant implementation and goal achievement. Specifically, the report should cover:

1) Status of each goal carried over from previous reporting period.

2) Status of each goal during the reporting period.

3) Corrective action planned to resolve implementation.

# Progress Report Requirements (continued)

4) If appropriate, identify changes that are needed in the implementation plan.

5) Technical assistance the grantor agency might provide.

6) Indicate the results of the project achieved both during the reporting period and cumulative to date, based on the required performance measures.

# Performance Measures Reporting

1. Collect mandatory indicators based on your program type
2. Submit data on-line to the Data Collection and Technical Assistance Tool (DCTAT): www.ojjdp-dctat.org/
3. Create a Performance Data Report in DCTAT
4. Upload Performance Data Report to GMS as a component of your Progress Report for that reporting period.

# Quarterly Financial Reports
## Federal Financial Report – SF425

| Reporting Period | Delinquent After |
|---|---|
| January 1 - March 31 | April 30 |
| April 1 - June 30 | July 30 |
| July 1 - September 30 | October 30 |
| October 1 - December 31 | January 30 |

Submit online through GMS: https://grants.ojp.usdoj.gov/

Financial Form User's Guide:

http://www.ojp.gov/training/pdfs/gms_userguide.pdf

# Federal Financial Report

http://www.whitehouse.gov/omb/assets/grants_forms/ff_report_fill.pdf - Windows Internet Explorer

Please fill out the following form.

Reset Form

## FEDERAL FINANCIAL REPORT

(Follow form instructions)

| | | | |
|---|---|---|---|
| 1. Federal Agency and Organizational Element to Which Report is Submitted | 2. Federal Grant or Other Identifying Number Assigned by Federal Agency (To report multiple grants, use FFR Attachment) | Page 1 | of pages |
| 3. Recipient Organization (Name and complete address including Zip code) | | | |
| 4a. DUNS Number | 4b. EIN | 5. Recipient Account Number or Identifying Number (To report multiple grants, use FFR Attachment) | 6. Report Type ○ Quarterly ○ Semi-Annual ○ Annual ○ Final |
| 7. Basis of Accounting ○ Cash ○ Accrual | | | |
| 8. Project/Grant Period From: (Month, Day, Year) | To: (Month, Day, Year) | 9. Reporting Period End Date (Month, Day, Year) | |

| 10. **Transactions** | Cumulative |
|---|---|
| *(Use lines a-c for single or multiple grant reporting)* | |
| **Federal Cash (To report multiple grants, also use FFR Attachment):** | |
| a. Cash Receipts | |
| b. Cash Disbursements | |
| c. Cash on Hand (line a minus b) | |
| *(Use lines d-o for single grant reporting)* | |
| **Federal Expenditures and Unobligated Balance:** | |
| d. Total Federal funds authorized | |
| e. Federal share of expenditures | |
| f. Federal share of unliquidated obligations | |
| g. Total Federal share (sum of lines e and f) | |
| h. Unobligated balance of Federal funds (line d minus g) | |
| **Recipient Share:** | |
| i. Total recipient share required | |
| j. Recipient share of expenditures | |
| k. Remaining recipient share to be provided (line i minus j) | |
| **Program Income:** | |
| l. Total Federal program income earned | |

# Reporting Overview: Program, Performance Measures & Finance

- Progress Reports
  - Due twice a year
  - Submitted on-line through GMS
- Performance Measures
  - Submitted on-line through Data Collection and Technical Assistance Tool (DCTAT) website
  - DCTAT Performance Report should be uploaded into GMS Progress Report
- SF 425/Federal Financial Form (FFR)
  - Due four times a year
  - Submitted on-line through GMS

# Assistance with Report Submission

- Online Progress Report submission in the Grant Management System: contact the GMS Helpdesk (888) 549-9901, option 3
- Online Data Collection and Technical Assistance Tool (DCTAT): contact DCTAT Helpdesk (866) 487-0512
- Online Federal Financial Form submission: contact the Office of the Chief Financial Officer Helpdesk (800) 458-0786

# Budget and Expenditure Tracking

- Know your budget and draw down history
- Request a reconciliation at least monthly from your business/finance office
- Review the Office of Justice Program Financial Guide and bookmark it on your internet browser
  - http://www.ojp.usdoj.gov/financialguide/
- Check any proposed budget changes with your OJJDP Program Manager first
  - Budget modifications of more than 10% of award amount between approved budget categories must be formally approved by your Program Manager through the grant adjustment process in GMS

# Relationship between Program and Finance

- Why is it important?
  - Reconciliation between budgeting, spending and reporting
  - Knowing when program changes necessitate budget modifications
  - Monitoring the rate of drawdowns
  - Knowing in advance if a No-Cost Extension is necessary

# Common Audit Exceptions

- Poor record keeping
- Unallowable costs/activities
- Missing time & attendance reports
- Failure to follow procurement standards
- Lack of internal controls
- Failure to obtain prior approval when required
- Incorrect indirect cost rate
- Poor cash management – excessive draws, infrequent draws

# OJP Food & Beverage Policy

Food and/or beverages are provided to participants at training sessions, meetings, or conferences that are allowable activities under the particular OJP program guidelines.

Expenses incurred for food and/or beverages provided at training sessions, meetings, or conferences must satisfy the following three tests:

- Test 1-The cost of the food/beverages provided is considered to be reasonable.
- Test 2-The food/beverages provided are incidental to a work-related event.
- Test 3-The food/beverages provided are not related directly to amusement and/or social events. (Any event where alcohol is being served is considered a social event and, therefore, costs associated with that event are not allowable).

# Grants Management System

- Submitting Your Progress Report
- Requesting a Grant Adjustment
- Grant Closeout
- GMS On-line Trainings

# Submitting Progress Reports in GMS

- Address the Progress Report Requirements
- Attach copy of DCTAT report
- Must be approved by OJJDP Program Manager
- May be “change requested” if additional information is needed
- Failure to submit will put an immediate, automatic “hold” on funding

# Changes to Grant Award

- Grant Adjustment Notices (GANS)
- Initiated by grantee in GMS to request change:
  - Project Period
  - Signing Authority
  - Key Personnel
  - Budget Modification
  - Organization Address/Name
- Must be approved by OJJDP Program Manager

# Grant Closeout

Grantees:

- Must submit the final progress report, final financial report and the closeout in GMS before the 90th day after their grant end date.

- May request a no-cost extension via a "Change Project Period" Grant Adjustment Notice in GMS if they have funds remaining and wish to continue program activities 45 days or more in advance of the grant end date.

# GMS On-line Training Tool

- GMS Overview
  - Overview of the overall functionality of GMS.
- Grant Adjustment Notices (GANs)
  - Leads you through the steps in the process of creating, saving, and submitting each of the different types of Grant Adjustment Notices.
- Progress Reporting
  - Shows you how to create and submit progress reports and respond to change requests.
- Closeouts
  - Instructs you how to create a closeout package and submit it before the 90th day after the grant end date.
- You can access the training by going to http://www.ojp.usdoj.gov/gmscbt/

# Section II
# OJJDP Support for Your Program

## Grant Monitoring

# Grant Monitoring

- Grant monitoring and oversight is an integrated process of programmatic, financial and administrative management that occurs throughout the grant lifecycle from award through the close-out of grant activity.

# Working with your Program Manager

- Your Program Manager is your "point" person for any problems or issues with your award.
- Email your Program Manager when you need guidance about a change in project scope, are having trouble reaching your goals and objectives, want to discuss a budget change or think that you may need a no-cost extension, etc. The sooner you communicate a need for assistance the sooner your issue can be resolved.
- The Program Manager may not be able to answer your question immediately but he/she will be able to direct you to someone who can and/or will be able to research your question and get back to you.

# Components of Grant Monitoring

- Telephone Communication
- Email Correspondence
- Desk Monitoring (Desk Review)
- Review of Compliance with Reporting Requirements( Semi-annual Progress Reports and Quarterly Financial Reports)
- Grant Adjustment Requests
- On-site Monitoring (Site Visits)
- Connect grantee with Technical Assistance (Programmatic, training and recommendations regarding solutions to challenging issues)

# Site Visits: When to expect one and what is expected

- Your Program Manager might conduct a site visit of your grant during the grant project period.

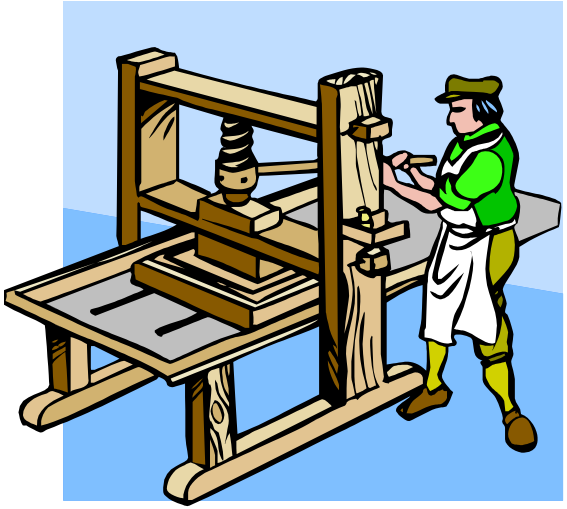
- Sometimes your project will be visited due to a particular issue but other times it will be the result of a random sampling.

# What happens on a Site Visit?

The extensiveness of a site visit will vary but generally they include:

- A discussion of programmatic issues including recent progress reports and if the projects implementation is on schedule.
- If any technical assistance is needed and how OJJDP can help if necessary.
- Administrative and financial issues including but not limited to reporting requirements and if expenditures are in line with approved budget.
- A visit to the program activities funded by OJJDP.
- Other related issues or concerns of both Program Manager or grantee.

# Producing and Publishing Documents



- Review and Approval Process
- Disclaimer
- Use of OJJDP Logo

# Customer Service

- Program Managers at OJJDP strive to be responsive to requests from the grantees that they manage.
- Often it is better to document your request in a email to your Program Manager.
- Please be sure to note your award number in all emails and voicemails.

# Questions?