

# MODULE 101: GRANT ADMINISTRATION AND SET-UP

Office of Adult & Juvenile Justice Assistance  
(OAJJA)

Division of Criminal Justice

**2016-17**

<http://dcj.state.co.us>

<http://dcj.oajja.state.co.us/>

# GOALS OF MODULE 101

- ❑ Resources for Administering an OAJJA Grant
- ❑ Grantee (PD/FO) Responsibilities
- ❑ DCJ Administrative Guide
- ❑ Setting Up a Working Grant File
- ❑ Grant Agreement
- ❑ Certifications
- ❑ Conference/Meeting Policy

# GRANT MANAGEMENT RESOURCES

- ❑ Your DCJ Program Manager
- ❑ OAJJA web site - <http://dcj.oajja.state.co.us/>
- ❑ DCJ Grants web site - <http://dcj.state.co.us/home/grants>
  - ❑ DCJ Administrative Guide for Federal Grants Programs
  - ❑ 2015 DOJ Grants Financial Guide



# PROJECT DIRECTOR/ FINANCIAL OFFICER RESPONSIBILITIES

# PROJECT DIRECTOR RESPONSIBILITIES

- ❑ Project Director has the ultimate responsibility for the grant project.
- ❑ Project Director must be aware at all times about what is happening with the grant project.
- ❑ Project Director is the “go to” person. It is fine to use administrative staff to help with details, however, the Project Director must have complete oversight of the project.
- ❑ Completion and submission of all DCJ Reporting Forms: quarterly narrative reports, quarterly financial reports, cash requests, and any grant modifications.

# PROJECT DIRECTOR RESPONSIBILITIES CONT.

- ❑ Project Director must know what the grant application includes; what the grant pays for and what your agency agreed to do.
- ❑ What are the goals of the project? Are grant project goals being met? Are there issues with project goals?
- ❑ Responsible for monitoring and managing any contracted services. Pay close attention to time sheets and invoices they should have detailed information about the number of hours worked and what was performed.
- ❑ Stay in regular communication with your DCJ grant manager; it is better to “ask a question”, than to GUESS!
- ❑ Be responsive to your DCJ grant manager as they are your “best resource”!

# PROJECT DIRECTOR RESPONSIBILITIES CONT.

- ❑ Coordinate with the project's Financial Officer on a regular basis and keep him/her in the communication loop with regard to grant activities.
- ❑ Project Director must thoroughly review invoices, receipts, payroll records, mileage vouchers, time sheets, etc. and all other expenses related to the grant.
- ❑ All expense back-up documents should be marked with the uniquely assigned grant name and number and then signed off by the Project Director with your **ORIGINAL** signature and date. \*

\*An electronic signature in PDF is a valid "original" signature.

# FINANCIAL OFFICER RESPONSIBILITIES

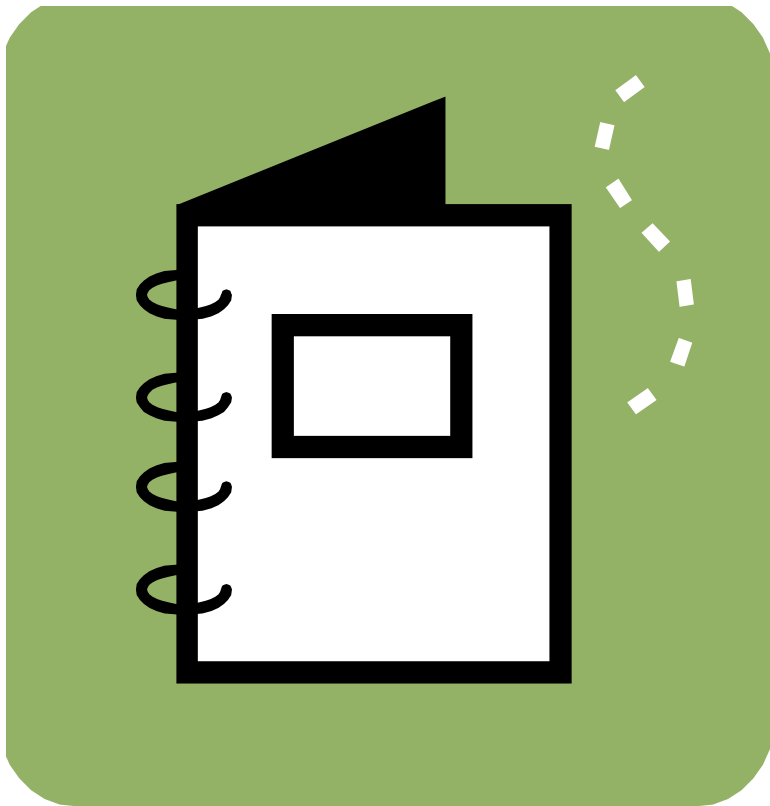
- ❑ Financial Officer must thoroughly review invoices, receipts, payroll records, mileage vouchers, time sheets, etc. and all other expenses related to the grant.
- ❑ Ensure that all internal controls are in place and are operating.
- ❑ Set up accounting system(s) structure for the grant. Should be a unique set of accounting codes that separates expenditures, revenues and identifies them to this grant.



# FINANCIAL OFFICER RESPONSIBILITIES CONT.

- ❑ Coordinate with the Project Director on a regular basis and keep him/her in the communication loop with regard to financial status of the grant.
- ❑ Reconcile at least quarterly to general ledger or sub-ledger accounts.
- ❑ Prepare the financial reports using quarterly data from your accounting system.
- ❑ Monitor budget for proper expenditures.

# DCJ ADMIN GUIDE



# DCJ ADMIN GUIDE

The Project Director and Financial Officer of each grant should have a copy or have access to the DCJ Admin Guide!

Contains the information that will help you understand and meet the financial, administrative and audit requirements for your grant.

The Administrative Guide for Federal **and State** Grant Programs (Guide) is available on-line at:

<http://dcj.state.co.us/home/grants>

The Guide may be updated periodically. Check the website for the most recent copy.

# YOUR WORKING GRANT FILE



# SETTING UP A WORKING GRANT FILE

- ❑ Grant Agreement (legal binding contract)
  - Includes signed award documents, and exhibits which includes your project's goals and objectives and budget
- ❑ All Correspondence related to grant
- ❑ Administrative Guide
- ❑ When applicable; certification of privacy/confidentiality
- ❑ Active license(s) for treatment providers funded with grant funds (including contractors)
- ❑ Signed (Memorandum of Understanding) MOU's with outside entities



# WORKING GRANT FILE CONT.

- ❑ Signed copy of contracts/purchase orders with outside vendors/consultants
- ❑ A letter to your DCJ grant manager if your project was not operational within 60 days of the signature of the State Controller or delegate. The letter should address what steps were taken to initiate the project, why there were delays and what was the anticipated start date
- ❑ Copies of or original receipts/invoices to support approved expenditures in the approved budget categories (personnel, supplies, operating, travel, equipment, etc) of the original grant application; payroll records ; mileage vouchers
- ❑ Internal agency timesheets and time records

# WORKING GRANT FILE CONT.

- ❑ Time records from any contractor(s) being paid with grant dollars
- ❑ Any released reports and/or other publications, notices, visual or audio publications (books, films, manuals, etc)
- ❑ Any Conference Policy and Certification form(s)
- ❑ Any other items/documentation related to the grant award

# WORKING GRANT FILE CONT.

Remember: If you have multiple grants with DCJ, you must have a separate working file for each grant!

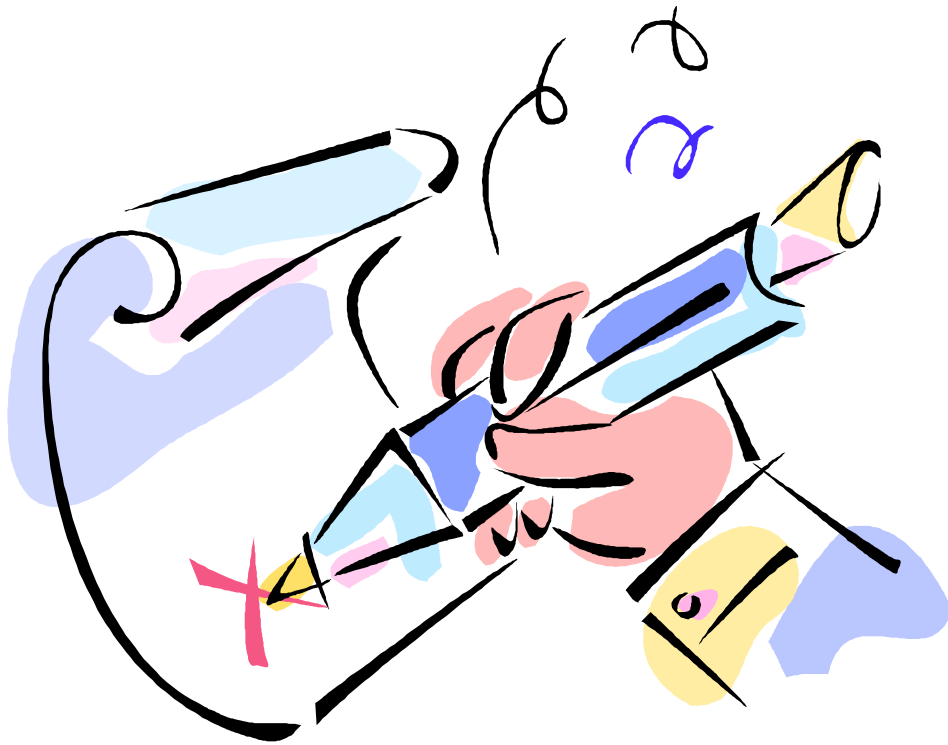
Also remember: Each grant has a unique grant number!

Please make sure to include the unique grant number in all your correspondence with DCJ





# GRANT AGREEMENT DOCUMENTS



# GRANT AGREEMENT DOCUMENT

- ❑ Grant Agreement is the contract between the grantee and DCJ and includes:
  - ❑ table of contents
  - ❑ body of the grant agreement drafted by the Colorado Office of the State Controller (OSC)
  - ❑ signatures pages
  - ❑ exhibits
    - ❑ special conditions
    - ❑ program and reporting requirements
    - ❑ additional federal requirements
    - ❑ statement of work
    - ❑ approved budget by line item

Grant #	CMS #	CFDA #	State/Federal Award #
2015-VA-16-013829-20	N/A	16.575	2015-VA-GX-0040

## STATE OF COLORADO

Department of Public Safety, Division of Criminal Justice

## GRANT AGREEMENT

with

 County

## TABLE OF CONTENTS

**Know your project period; located in section "Term" or "Term and Early Termination" (titles & numbering may vary). Activities that fall outside the project period will not be reimbursed.**

## Standard Grant Agreement

## 5. TERM

## A. Initial Term-Work Commencement

Unless otherwise permitted in §2 above, the Parties respective performances under this Grant shall commence on the later of either the Effective Date or **January 01, 2017**. This Grant shall terminate on **December 31, 2017** unless sooner terminated or further extended as specified elsewhere herein.

## Interagency Grant Agreement

## 4. TERM AND EARLY TERMINATION

## A. Term-Work Commencement

Unless otherwise permitted in §2 above, the Parties respective performances under this Agreement shall commence on the later of the Effective Date or Month Day, Year. This Agreement shall terminate on Month Day, Year unless sooner terminated or further extended as specified elsewhere herein. Either Party may terminate this Agreement by giving the other Party 45 days prior written notice setting forth the date of termination. Upon termination the liabilities of the Parties for future performance hereunder shall cease, but the Parties shall perform their respective obligations up to the date of termination.

## Important Information about your Project and where to find it:

The federal **Catalog for Domestic Assistance (CFDA) Number** varies for each type of federal award and is located on the first page of the award document. You will need to know this number for any required audit you receive.

## Important Information about your Project and where to find it:

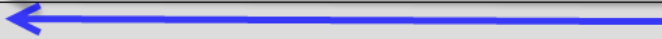
Your final approved budget is located in EXHIBIT B2 – BUDGET AND BUDGET NARRATIVES of the award document. For a quick budget summary you can look under Budget: Total Request

Special Conditions are located in EXHIBIT A1. These vary project by project

This award document needs to be signed by your Signature Authority, DCJ's Director and a representative of the State Controller's office before it is considered a legal and binding grant contract.

21. COLORADO SPECIAL PROVISIONS

22. SIGNATURE PAGE



All signatures must be present, the State Controller or Designee signs last.

EXHIBIT A1 – SPECIAL CONDITIONS

EXHIBIT A2 – GRANT REQUIREMENTS

EXHIBIT A3 – COLORADO SUPPLEMENTAL PROVISIONS FOR FFATA

Federal Grants only

EXHIBIT A4 – ADDITIONAL FEDERAL REQUIREMENTS

Federal Grants only

EXHIBIT B1 – STATEMENT OF WORK

EXHIBIT B2 – BUDGET AND BUDGET NARRATIVE

## Important Information about your Project and where to find it:

Amount Awarded is found in "Payment to Grantee" or "Payment-Maximum Amount". State funding awards will also contain a segment for the allowable cost per State fiscal year.

### Standard Grant Agreement

#### 7. PAYMENTS TO GRANTEE

The State shall, in accordance with the provisions of this §7, pay Grantee in the following amounts and using the methods set forth below:

##### A. Maximum Amount

The maximum amount payable under this Grant to Grantee by the State is **\$65,604**, as determined by the State from available funds. Grantee agrees to provide any additional funds required for the successful completion of the Work. Payments to Grantee are limited to the unpaid obligated balance of the Grant as set forth in Exhibit B2 - Budget and Budget Narrative.

### Interagency Grant Agreement

#### 6. PAYMENTS-MAXIMUM AMOUNT

The maximum amount payable under this Agreement to AGENCY #2'S INITIALS by DCJ is **Insert Max \$ Amount**, as determined by DCJ from available funds. Payments to AGENCY #2'S INITIALS are limited to the unpaid obligated balance of this Agreement set forth in **Exhibit B2 - Budget and Budget Narrative**. DCJ shall make payment for purchases of goods and services within 30 days after receipt of valid invoices from AGENCY #2'S INITIALS. Payments shall be made by an interagency transfer in lieu of a State warrant whenever possible.

# OTHER REQUIREMENTS

- ❑ System for Award Management (SAM) can be found at [www.sam.gov](http://www.sam.gov): All grantees are required to keep SAM registration up to date. SAM registrations are valid for a period of 12 months and must be renewed annually. If your SAM expires during the grant period please renew it and contact your grant manager with the new expiration date.
- ❑ Federal Funding Accountability and Transparency Act (FFATA): All grants will be listed in a searchable federal database system, which is pulled from your DUNS Number with additional information supplied by DCJ.

# CIVIL RIGHTS REQUIREMENTS

- ❑ Form 30 & Equal Opportunity Employment Plans
- ❑ Limited English Proficiency (LEP)

# CERTIFICATION FORM 30

## DCJ Form 30 Certification of Compliance

- ❑ All grantees must certify by submitting the Form 30 that their agency is in compliance with regulations and requirements regarding Limited English Proficiency, **Civil Rights**, and for EEOP.
  - ❑ A link to the online Civil Rights Training) can be found at <http://dcj.state.co.us/home/grants>
  
- ❑ This form must be signed by the Signature Authority listed on the Grant Agreement



# CERTIFICATION FORM 30

## Common Issues:

- ❑ The form was returned without Certification A, B or C selected
- ❑ The middle box on the first page is not filled out with the contact information for the person responsible for reporting civil rights findings. This is usually someone from your Human Resource Department
- ❑ The Signature Authority did not sign the form
- ❑ Grantee did not certify to all the requirements

# CIVIL RIGHTS REQUIREMENT EQUAL OPPORTUNITY EMPLOYMENT PLANS

Grantees are required to prepare an Equal Opportunity Employment Plan (EEO) if their agency is:

- State or local government agency or any business;  
AND
- 50 or more employees; AND
- Received single award of \$25,000 or more

Organizations receiving a single award of over \$500,000 must submit EEO to the Federal Office for Civil Rights (OCR)

Findings of discrimination must be reported to DCJ

# LIMITED ENGLISH PROFICIENCY

Limited English Proficiency (LEP)

Executive Order 13166: Improving Access to Services for Persons with Limited English Proficiency

- Your agency must take reasonable steps to ensure meaningful access to programs, services, and information free of charge
- [www.lep.gov](http://www.lep.gov)
- [www.ojp.usdoj.gov/about/ocr/lep.htm](http://www.ojp.usdoj.gov/about/ocr/lep.htm)

# OTHER FEDERAL REQUIREMENTS

## Twelve-Step Recovery Programs:

Are permitted with federal OJP grant funds but recipients are prohibited from using federal funds to engage in inherently (or explicitly) religious activities, such as proselytizing, scripture study, or worship. Faith-based recipients may, of course, engage in inherently religious activities; however, these activities must be separate in time or location from the program supported with federal funds and participation in these programs must be voluntary. **More information is located in Appendix B of the JAG instructions.**

## Drug Free Work Environment:

Recipients of federal OJP grant funds, both applicant agency and vendor(s), must comply with a drug free work environment which includes **Marijuana.**

# CONFERENCE POLICY AND CERTIFICATION FORM

## COLORADO DIVISION OF CRIMINAL JUSTICE CONFERENCE POLICY AND CERTIFICATION (DCJ FORM 31)

See instructions on page two of this form.

GRANTEE:	GRANT NUMBER:
PROJECT TITLE:	PROJECT DURATION FROM: TO:
DATE:	
# OF PEOPLE ATTENDING:	
Conference <input type="checkbox"/> meeting <input type="checkbox"/> retreat <input type="checkbox"/> seminar <input type="checkbox"/> symposium <input type="checkbox"/> event	
EVENT: <input type="checkbox"/> OJP federal funds <input type="checkbox"/> Matching funds on an OJP award	

Costs are limited to thresholds established by the federal *Office of Justice Programs (OJP)*. If you will be spending OJP grant money (including meetings, retreats, seminars, symposiums, events, and group training activities) you must complete this form. The amount of your grant may be found on your grant agreement. Contact your DCJ Grant Manager if you have questions regarding non-

	Definition/Rule
Audio Visual Services the amount of \$ _____	Cost of the venue (room) along with audio visual cannot exceed the lesser of \$25 per person per day or \$20,000. Will the cost of the venue and audio visual exceed this amount? _____ Yes _____ No
Speakers/Trainers the amount of \$ _____	Costs of a speaker/trainer cannot exceed \$650 per day or \$81.25 per hour. Does the cost of any of the speakers/trainers paid with grant funds exceed this amount? * If yes, DCJ Form 16 must be submitted at least 90 days prior. _____ Yes _____ No
Supplies the amount of \$ _____	Supplies may be purchased for the conference <u>if necessary</u> this includes printing, folders, name tags. Are all purchases with grant funds necessary? _____ Yes _____ No

Complete, sign and keep a copy in your master file if applicable. You don't need to submit a copy to DCJ unless you answered "yes" to any of the questions. Contact your DCJ Manager immediately.

# FEEDBACK AND QUESTIONS

Who to call/email:

## *Financial Matters*

Cindy Johnson

(303) 239-4443

[cindya.johnson@state.co.us](mailto:cindya.johnson@state.co.us)

## *All Other Grant Questions:*

Kyle McDonald

(303) 239-4452

[kyle.mcdonald@state.co.us](mailto:kyle.mcdonald@state.co.us)

Please complete a brief survey regarding this training:

<https://www.surveymonkey.com/r/2MRDLF7>

# COMPLETE THIS PAGE AND EMAIL TO THE ADDRESS BELOW

I certify that I have completed this 2016 Module  
101: Grant Administration and Set Up training.

Date Completed: \_\_\_\_\_

Name: \_\_\_\_\_

Project Director or  Financial Officer (check one)

Grant Number: \_\_\_\_\_

Project Name: \_\_\_\_\_

Email Form to: [cdps\\_dcj\\_oajjagrants@state.co.us](mailto:cdps_dcj_oajjagrants@state.co.us)