MODULE 102: GRANT MANAGEMENT AND REPORTING

Office of Adult & Juvenile Justice Assistance (OAJJA)
Division of Criminal Justice
2016-17
http://dcj.state.co.us
http://dcj.oajja.state.co.us/
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
How they are used:

- Monitor Project Progress

Due dates:

- 15 days after the end of the calendar quarter (1/15, 4/15, 7/15, and 10/15)
- Final Reports are due 45 days after the end of the project.
DCJ FORMS

QUARTERLY FINANCIAL REPORT

PAYMENT REQUEST

QUARTERLY NARRATIVE REPORT
Narrative Report Components

- Prepared By - the individual(s) completing the form.
- Demographic Information - must be completed when a project provides direct services (by the applicant agency and/or the vendor).
- Report progress on each goal. If there was no activity toward a particular goal during the quarter, state such in the narrative, but the reasons must be explained.
- Report Certification - certification statement acts as an electronic signature. By certifying the grantee understands that backup documentation must be kept on hand and made available to DCJ if requested.
PROGRESS ON GOALS- 2Q

1. **Activities**: Activities and strategies implemented to date to meet the goal; include number of participants served, services provided, and dosage, if applicable.

2. **Timelines**: Are timelines being met? If no, please explain the delay.

3. **Indicators**: Provide indicators that show progress toward attaining each listed outcome/indicator. Include data regarding project outputs or completion of tasks (give a numeric value where available).
4. **Problems Encountered**: What were they, how did they impact the program/project, how were they handled and what is your plan to get back on track?

Items 5 & 6 relate to the project as a whole for this quarter.

5. **Project/Proposed Changes**: Have any significant changes been made within the program/project since the last reporting period? Please explain in detail.
Progress/Highlights: Please describe any highlights of this program/project you feel are relevant to the program/project outcome. These can be intentional/unintentional outcomes of the work that you are doing. Please be specific in your description.
Quarterly reports must be submitted within 15 days after the end of each calendar quarter, even if there is no activity for that quarter.

If there was NO ACTIVITY for the quarter, you must provide an explanation.

Once a goal has been met, note that it has been COMPLETED.
Common errors

- Not addressing any problems encountered with the project (staff issues, lack of progress, etc.)

- Not providing sufficient detail on activities

- Not completing the demographic table (if providing direct services)
Final Narrative Report Components

- **Prepared By** - the individual(s) completing the form.
- **Final Table (demographics)** - must be completed when a project provides direct services (by the applicant agency and/or the vendor).
- **Final Narrative** - Must include a summary of the entire grant, with an *emphasis on the impact of the project* on the Problem identified in the grant application.
1. **Project impact**: Include an analysis of the project's impact on the problem statement addressed in the application.

2. **Outcomes**: Given how success was defined in the grant application, has this project(s) met with success? Did the project serve the intended number and population? Did the project accomplish all objectives? If not, why not. The analysis should identify the specific ways in which the project has had an impact (i.e., reduction of crime, improvement of the criminal justice system, or cost savings to law enforcement or other government agencies).
3. **Long-Term Sustainability Plan:** If the project has not impacted the intended problem(s) or met with success, will the agency continue implementing it? What changes are planned to make the project more effective? If the project has been successful, what plans will be implemented to diversify its funding base (city/county financial support) and how are you documenting long-term cost effectiveness of this project?

4. **Publications:** List any documents that were produced by or for the program using these grant funds. Attach any that were not previously submitted.

5. **Grants Process:** Provide feedback about improving our application and grant process, including our grant reporting, payments, etc. Identify any technical assistance needs.
The FINAL Narrative is due within **45 days** of the end of the grant period; this report is in addition to the last quarterly narrative report.

**Common errors**

- Final report does not include impact statement, only summarizes the quarterly information
- Repeats last quarter information only
- Demographic table(s) is not completed
Used to report project expenditures for the quarter.

Expenditures of funds must reconcile to the agency’s General Ledger. If sub-ledgers are used, a process to reconcile the sub-ledger to the General Ledger must be in place.

The 1-A may contain **Unpaid Invoices** (any unpaid invoice(s) for the quarter or the legal commitment for goods/services not yet paid), however, the FINAL financial report cannot contain **Unpaid Invoices**.

- **Personnel and Indirect/Admin costs never have unpaid invoices.**
Quarterly and Final Financial Report

- Quarterly reports are mandatory and must be submitted within **15 days** after the end of each calendar quarter, even if you do not incur any expenses within the quarter.

- Projects with start dates other than the first day of a calendar quarter must still report at the end of the calendar quarter.
The Final Financial report is an optional report, and must be used only if you reported unpaid invoices on the “last quarter’s” report. This report is due **45 days** after the end of the grant award period, giving you 30 days from the due date of the quarterly report to pay your unpaid invoice(s) and submit this report.

The final can be combined with the last quarterly report if:
- Awarded funds have been fully expended,
- All invoices have been paid, and
- The report is submitted no later than **15 days** after the end of the grant award period.
**FINANCIAL REPORT (DCJ FORM 1-A)**

**Paper Form**

<table>
<thead>
<tr>
<th>Budget Category</th>
<th>Fund Source</th>
<th>Approved Budget</th>
<th>A: Expenditures Beginning of quarter (C on previous report)</th>
<th>B: Expenditures This Quarter</th>
<th>C: Total Expenditures to Date (A + B)</th>
<th>Unpaid Obligations/Invoices at end of quarter</th>
</tr>
</thead>
<tbody>
<tr>
<td>Personnel</td>
<td>Award 1</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Cash Match 2</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>In-kind Match 3</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Total 4</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Indicate if the report is Quarterly or Final or both. They may be combine the last quarter and final if you don’t have any outstanding invoices reported and all expenses are paid, regardless of whether or not you spent the full amount of your award. This report will then be considered your “Final”.

**ZoomGrants Form**

- **Approved Budget**: is your final budget reflected in your Grant Agreement, Exhibit B2, Budget and Budget Narrative, Total Request or your most recent approved Budget Revision. (Paper form only)
- **Expenditures Beginning of Quarter**: is the Total Expenditures to Date from the last prior report (Paper form only)
- **Expenditures This Quarter**: report project expenditures for this quarter (Award, Cash Match, In-Kind Match are separated into separate entries)
- **Total Expenditures to Date**: sum of Expenditures Beginning of Quarter and Expenditures This Quarter (Paper form only)
- **Unpaid Invoices at End of Quarter**: report unpaid invoices for this quarter
FINANCIAL REPORT (DCJ FORM 1-A)

Paper Form

REQUIRED GRANTEE SIGNATURES: I certify that, to the best of my knowledge and belief, this report is correct and complete, and that all expenditures and unpaid obligations are for the purposes set forth in the grant award documents. I, hereby, also certify that the content of this form, other than the data entry required, has not been altered.

Financial Officer’s Signature / Date

Project Director’s Signature / Date

ZoomGrants Form

10. Financial Officer: I certify that, to the best of my knowledge and belief, this report is correct and complete, and that all expenditures and unpaid obligations are for the purposes set forth in the grant award documents.

Enter name below to act as a signature:

Maximum characters: 255. You have 238 characters left.

11. Project Director: I certify that, to the best of my knowledge and belief, this report is correct and complete, and that all expenditures and unpaid obligations are for the purposes set forth in the grant award documents.

Enter name below to act as a signature:

Maximum characters: 255. You have 241 characters left.

12. Project Director: I certify that the appropriate backup documentation is available onsite, if requested and will be retained for the required time as specified in the grant agreement.

Enter name below to act as a signature:

Maximum characters: 255. You have 241 characters left.
Final Financial Report

- Accurately report expenses to match your accounting ledgers, even if you have not spent all of the grant money.

- The only expenditure(s) that will show on this report is the payment of the Unpaid Invoice(s) reported on the last quarter report.

- All invoices and expenses should be paid for this report to be final.

- The Final Financial Report is only required if you reported unpaid invoices in your last Quarter Financial Report.

- The FINAL financial report cannot contain Unpaid Invoices.
Common errors

- Double reporting expenses by entering the amount in both the “Unpaid Invoices” and the “Expenses This Quarter” columns.

- Basing reported expenses from the Payment Request instead of the actual expenses from the accounting system/ledgers. This happens frequently if grantees draw funds from DCJ on a monthly basis, instead of a quarterly reimbursement.
Payment Request

- Most Payment Requests are submitted on a quarterly reimbursement basis with your Financial Expenditure Report (Form 1-A)
- Federal cash on hand cannot exceed more than 10 days of anticipated expenditures
- Verify that the Payment Request matches reported expenditures on the Form 1-A if on a quarterly reimbursement basis
- Your Payment Request will not be approved for payment if your:
  - Narrative/Financial reports are late or submitted incorrectly
  - Required documentation has not been received
  - Any applicable Special Conditions have not been met
Payment Request

Data only needs to be entered in lines 1, 2, 5 and 6. The system will automatically bring forward and calculate the other lines.

Line 1: Total amount of expenditures for this time period.
Line 2: Cash match – this will always be “0” for JAG programs
Line 3: Balance of federal dollars needed
Line 4: Federal award amount.
Line 5: Federal dollars received to date
Line 6: Federal dollars requested but not yet received
Line 7: Total amount of this request. This line will be the same as Line 3 above.
Line 8: Total of lines 5, 6 and 7
Line 9: Available federal dollars remaining

On the final payment request for your grant, if your award was fully expended line 9 should be $0, otherwise the balance remaining should reflect the unspent federal funds you will be not be using on your project.

The form may look different in paper form than in ZoomGrants. The fields are in the same order and have the same content.
PAYMENT REQUEST

Common errors

- Request does not match reported expenditures for the quarter
- Requesting funds in advance on an estimated basis (excessive draw down of funds)
- Requesting funds when progress has not been made on grant activities
Vendor Setup and CORE Payment for State Agencies:

- State Agencies need to be set up as an Internal Vendor for transfer of funds.
- Until the PRMI document in CORE is working, an ITI needs to be done and submitted for CDPS for approval using RDAA as the Agency Code. E-mail the ITI number to cindya.johnson@state.co.us, and be sure to reference your grant number in the e-mail. Once your payment request has been approved by your DCJ Grant Manager, an ITA will be submitted.
PROGRAM INCOME
Program income means gross income earned that is directly generated by a supported activity or earned as a result of the Federal award during the period of performance.

- Examples of program income that are normally seen with JAG projects are:
  - Income from fees for services performed
  - Registration fees
  - The use or rental of real or personal property acquired under the federal award

**NOTE:** Fines as a result of law enforcement activities are not considered project income.
Program income must be used for the same purposes and under the same conditions as the original federal award. Program income must be expended on the project as soon as possible.

PLEASE NOTIFY YOUR DCJ GRANT MANAGER IF YOU ARE, OR ANTICIPATE, GENERATING PROGRAM INCOME!!
Purpose
Quarterly reporting to track project income generated by the activities of the funded project and the expenditures of this income.

How they are used
Reports are reviewed to track and report the amount of project income earned by a project and to ensure the required percentage of program income is expended.
DCJ Form 1-B

Line 1: Amount of program income is always $0 for the 1st quarter. Subsequent quarters enter the amount from line 4 of the previous quarter.

Line 2: Receipts of Income earned for the Quarter.
   a: Check the type of service provided, Client or Registration
   b: Other, please specify
Total Receipts This Quarter (a+b).

Line 3: Expended amount this quarter.

Line 4: Cash Balance at end of Quarter, (1+2)-3. This line should always be 0 on the final report.

The form may look different in paper form than in ZoomGrants. The fields are in the same order and have the same content.
Common errors

- Submitting this report in place of the 1-A financial quarterly report. If your project earned program income, both reports are required.

- Combining your awarded grant funds with your program income dollars.
  - Including your grant payment as revenue on this report
  - Showing expenses paid by grant dollars as expended program income.
Professional Services/Consultant Certification (DCJ Form 16)

SECTION II: PRIOR APPROVAL

☐ Not Applicable - The maximum hourly rate does not exceed $650 per 8-hour day ($81.25/hr.) (Federally Funded Grants), OR State Funded Grants. Complete Section III.

☐ Prior Approval Required (federal grant funds only) – The hourly rate exceeds the maximum per hour and is _______/hr. Attach a written justification for the payment rate with this form, and the proposed draft of the Statement of Work, Purchase Order, or Contract. Stop here and submit to DCJ, do not complete Section III until prior approval is granted.

SECTION III: CONTRACT EXECUTION DETAILS

A. ☐ Grantee has verified that the contractor is not on the federal debarment list and is actively registered at https://www.sam.gov.

B. Total Contract Amount: ____________________________  Amount Paid by Grant: ____________________________  Amount Paid by Match (if applicable): ____________________________

C. Attach a copy of the signed Statement of Work, Purchase Order, or Contract with outside contractor. Date executed: ____________________________

D. Indicate the type of Procurement Process used to select this contractor. All procurements must be conducted in a manner to provide, to the maximum extent practical, open and free competition. Attach a description of the process utilized.

☐ Competitive (informal/formal)  ☐ Sole Source  ☐ Other

E. Has contractor been notified of the provision regarding copyrighted materials? (see page 2 for provisions)

☐ YES ☐ NO ☐ N/A
DCJ PRIOR APPROVAL FORMS

DCJ FORM 16

This form is used to verify the grantee’s compliance with federal/state regulations regarding services provided by outside contractors under contract with the project. This form must be completed and forwarded to DCJ at the time of contract execution, and if the hourly rate exceeds the maximum per hour rate prior approval must also be submitted before contract execution. Refer to the DCJ Administrative Guide applicable to your grant program (State or Federal) for additional information. All sections must be completed.

SECTION I: CONTRACTOR INFORMATION

Contractor’s Name and Address:

SECTION II: PRIOR APPROVAL

☐ Not Applicable - The maximum hourly rate does not exceed $650 per 8-hour day ($81.25/hr.) (Federally Funded Grants), OR State Funded Grants. Complete Section III.

☐ Prior Approval Required (federal grant funds only) – The hourly rate exceeds the maximum per hour and is _________/hr. Attach a written justification for the payment rate with this form, and the proposed draft of the Statement of Work, Purchase Order, or Contract. Stop here and submit to DCJ, do not complete Section III until prior approval is granted.

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C. Attach a copy of the signed Statement of Work, Purchase Order, or Contract with outside contractor.
   Date executed: __________________________

D. Indicate the type of Procurement Process used to select this contractor. All procurements must be conducted in a manner to provide, to the maximum extent practical, open and free competition. Attach a description of the process utilized.
   ☐ Competitive (informal/formal)  ☐ Sole Source  ☐ Other

E. Has contractor been notified of the provision regarding copyrighted materials? (see page 2 for provisions)
   ☐ YES  ☐ NO  ☐ N/A
Note: The main purpose of this form is to ensure a fair, open, and competitive process of vendor selection that meets federal requirements.

The debarment/excluded parties list needs to be checked at https://www.sam.gov

Total contract amount versus amount paid by the grant.

The maximum hourly rate cannot exceed $81.25 or $650 per 8 hour day without PRIOR APPROVAL from DCJ.

Justification must demonstrate that this compensation rate is reasonable and consistent with that paid for similar services in the market place.

Documentation must include prior contracts or invoices between the consultant and other agencies for similar work, if possible, or comparison with other potential providers of the same or similar work.
Per your agency’s procurement policies indicate the type of Procurement Process used to select this vendor. Attach a description of the process utilized. All procurements must be conducted in a manner to provide, to the maximum extent practical, open and free competition.

- Sole source
- Competitive
- Other (please explain)

If your agency does not have a procurement process, you must use the State’s procurement process. Please contact DCJ for assistance.

Copyrights/Intellectual rights - “DCJ reserves a royalty-free, non-exclusive, and irrevocable license to reproduce, publish, or otherwise use, and authorize others to use, for Federal government purposes: 1) The copyright on any work developed under an award or subaward; and 2) Any rights of copyright to which a recipient or subrecipient purchases ownership with support.”

**Note:** These are part of your Grant Agreement
Per your agency’s purchase order/contract process, your purchase order/contract at a minimum should include:

- Parties
- Performance period and total amount of contract
- Detailed statement of work
  - Deliverables/Description of goods and services provided
  - Vendor/contractor obligations
  - Standards for acceptable performance
  - Itemized budget including personnel/qualifications and credentials
- Purpose
- Notices and representatives
- Payment process for vendor/contractor
- Licenses and insurance
- Breach of contract and remedies
- Retention of records
- Confidentiality
- Signatures of the appropriate Authorized Officials
Common errors with the DCJ Form 16

- The grantee did not follow the appropriate procurement procedures
- The grantee did not provide justification if it is a sole source contract
- All appropriate back-up documentation was not submitted (statement of work, contract, procurement policy, MOU, detailed contract budget, timeframes, etc.)
- The contract was not signed by an authorized official of the grantee agency and/or the contract agency who has authority to enter into contracts
- The debarment/excluded parties list was not consulted:
  - Justification was not included if the hourly wage exceeded $81.25 per hour or $650 per 8 hour day
- The Form 16 was not submitted to and approved by DCJ PRIOR to spending funds under this line item

Note: Form 16 must be approved prior to contract execution!
DCJ PRIOR APPROVAL FORMS

Equipment Procurement Certification (DCJ Form 13)

- Used to obtain prior approval to purchase equipment
- Equipment = Tangible, nonexpendable property with an acquisition cost of $5,000 or more and a useful life of more than one year
- Grantee must comply with all applicable local, state, or federal procurement procedures
- Grantee must document procurement procedure and submit all back-up documentation (i.e. copy of procedure, bids, sole source justification, etc.) to DCJ by mail, fax or email - cannot be attached in COGMS
- Form must be completed in its entirety to be approved
DCJ PRIOR APPROVAL FORMS

Equipment Procurement Certification (DCJ Form 13)

1. **Equipment to be Purchased**: Include brand name, model, price of each unit. For automated data processing (ADP) equipment, include any added features, peripherals and ancillary items necessary to its operations, as well as PRICE of each piece of equipment.

<table>
<thead>
<tr>
<th>Brand Name</th>
</tr>
</thead>
<tbody>
<tr>
<td>Model #</td>
</tr>
<tr>
<td>Price</td>
</tr>
</tbody>
</table>

   % Paid by awarded federal funds 0.00%
   % Paid by matching and/or agency funds 0.00%

2. **Vendor Name and Address:**

3. **Procurement Process Used – Check one:**

   a. Existing federal, state or local bid from established state or local government award list that meets or exceeds the federal guidelines.
   
   Bid Type: Federal [ ]  State [ ]  Local [ ]  Award Number: ______________________

   b. Competitive procurement (ATTACH a description of the vendor selection process, the number of qualified vendors, the vendor selected and reason for selection.)

   c. Sole source procurement (ATTACH a sole source justification explaining each of the following circumstances that apply.)

<table>
<thead>
<tr>
<th>Item is available only from a single source</th>
<th>Emergent need does not permit a delay that might result from a formal competitive solicitation</th>
</tr>
</thead>
<tbody>
<tr>
<td>After solicitation of a number of sources, competition was deemed inadequate</td>
<td>Expertise of the vendor</td>
</tr>
</tbody>
</table>

4. **Answer the following questions regarding this equipment purchase:**

   a. Is the equipment identified within the approved grant application and is it necessary and sufficient to meet the project goals?  **--select--**

   b. Is the equipment procurement in compliance with existing federal, state, and local laws and regulations?  **--select--**

   c. Was a purchase/lease comparison demonstrating that it is more advantageous to purchase rather than lease the equipment conducted?  **--select--**

   Backup documentation needs to be attached
Common errors with the DCJ Form 13

- The grantee did not follow their agency’s appropriate procurement procedures
- The grantee did not document the bids and/or did not provide adequate documentation to DCJ
- The Form 13 was not submitted and approved before the equipment purchase

Note: Payment requests will not be processed if form(s) have not been received and approved
Equipment Inventory/Retention (DCJ Form 5)

- Submitted to record the equipment purchased with the grant and matching funds
- The form must be completed and submitted by the Project Director within 45 days of the grant end date
- Grantee must resubmit this form upon a change in disposition of any equipment, even if it occurs after the end of the grant period
- DOJ Grants Financial Guide provides program specific information on equipment disposition
DCJ EQUIPMENT CLOSE-OUT FORM

Equipment Inventory/Retention (DCJ Form 5)

SECTION I: EQUIPMENT INFORMATION

<table>
<thead>
<tr>
<th>Description</th>
<th>Inventory #</th>
</tr>
</thead>
<tbody>
<tr>
<td>Date of Acquistion</td>
<td>Cost</td>
</tr>
<tr>
<td>Federal Award Identification Number</td>
<td></td>
</tr>
<tr>
<td>Percent of cost paid with awarded federal funds from this grant: 0.00%</td>
<td></td>
</tr>
</tbody>
</table>

Location of Equipment: ____________________________

Use and Condition of Equipment: ____________________________

SECTION II: RETENTION AND DISPOSAL: Complete this section for the Grant Award Period End and/or Final Disposition Reporting. Status: [check the appropriate box(es)]

Retention:

- Item has depreciated to a value less than $5,000 and no longer requires inventory.
- The equipment has a value of $5,000 or greater and will continue to be used for the authorized federal grant purposes for which it was acquired.
- The equipment has a value of $5,000 or greater and will be used for other activities currently or previously supported by a Federal agency. Describe in the space provided:

Disposal:

- Item has depreciated to a value less than $5,000 and no longer requires inventory.
- The equipment has a value of $5,000 or greater and is no longer needed for the funded project or other activities currently or previously supported by a Federal agency:
  - Traded in or sold to offset the cost of replacement equipment. (If this occurs during the grant period, prior approval must be obtained from your DCJ Grant Manager). Replacement equipment will require a new DCJ Form 5.
  - Sold at fair market value in excess of $5,000. Proceeds must be returned to DCJ equal to the percentage paid by federal grant funds.
  - Returned to the Division of Criminal Justice (Prior to returning equipment, contact your DCJ Grant Manager).
- Lost, damaged or stolen. Attach a copy of report made and investigation results.
Common errors with the DCJ Form 5

- Grantee fails to submit Form 5 or to comply with retention requirements
- Grantee does not submit a separate Form 5 for each piece of equipment
# DCJ Modification Requests

**Common Modification Forms** *(Download and save the form prior to editing.)*

<table>
<thead>
<tr>
<th>Form Name</th>
<th>DCJ Form Number</th>
<th>Grant Funds Source</th>
<th>Due Dates</th>
<th>Signatures</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Budget Revision</strong></td>
<td>DCJ Form 4-A</td>
<td>State Federal</td>
<td>Due 30 days prior to deviating from the current approved budget [Prior Approval Required]</td>
<td>Financial Officer: Project Director</td>
</tr>
<tr>
<td><strong>Change in Project Officials</strong></td>
<td>DCJ Form 4-B</td>
<td>State Federal</td>
<td>Due 15 days following a change in Project Director, Financial Officer, or Signature Authority</td>
<td>Project Director or Signature Authority</td>
</tr>
<tr>
<td><strong>Change in Grant Award Period</strong></td>
<td>DCJ Form 4-C</td>
<td>State Federal</td>
<td>Due No Later than 60 days Prior to the end of the Grant Award Period [Prior Approval Required]</td>
<td>Project Director</td>
</tr>
<tr>
<td><strong>Modification of Other Grant Agreement Terms</strong></td>
<td>DCJ Form 4-D</td>
<td>State Federal</td>
<td>Due 30 days prior to deviating from the current approved Grant Agreement [Prior Approval Required]</td>
<td>Project Director</td>
</tr>
</tbody>
</table>
DCJ MODIFICATION REQUESTS

- Reasons for requests need to be clear and detailed. If the narrative does not provide adequate detail, the Modification Request will be denied.

- Once a Modification Request is submitted, Grant Managers will reopen the corresponding application section (ie. Goals and Objectives) so that the Project Director can submit these changes.

- Please note - Grant extensions still need to be submitted a minimum of 60 days in advance.
Budget Revision (DCJ Form 4-A)

- Must include a narrative explaining the need for the budget revision.
  - NOTE: Changes within a Budget Category, e.g., items within the supplies and operating category, usually do not require a modification but the grantee must discuss this with their DCJ Grant Manager. Some changes will require a contract amendment.

Common errors with Budget Revisions

- The form has been submitted without the required reasons for the request
- The budget revision requested changes the scope of the project, this will require a Contract Amendment

NOTE: VERBAL APPROVAL IS NOT SUFFICIENT
Change in Officials (DCJ Form 4-B)

- Any changes in the project officials must be communicated to your DCJ grant manager
- Must include a narrative explaining the need for the change
- An official grant agreement modification is not required, but must be approved by DCJ.

Common errors with Change In Project Official Revisions

- The official(s) left before change(s) was requested
Change in Grant Award Period (DCJ Form 4-C)
- Option Letter: Unilateral only (signed by State only)
- Used to request no-cost extension to the grant award period
- Request must be made at least 60 days prior to the end of the grant award period
- A grant extension will not be approved after the end of the grant award period - cannot be retroactive
- Must include a narrative explaining the need for the extension
- All reports must be up-to-date and applicable Special Conditions must have been met for the change to be considered

NOTE: VERBAL APPROVAL IS NOT SUFFICIENT
Common errors with Grant Extensions

- Grantee does not request the change in a timely manner
- Grantee does not justify the need for the extension
- The end date being requested is past the federal or state award end date (is the money still “good”)
- Multiple extensions - does this signify that the project is in trouble?
Modification of Other Grant Agreements (DCJ Form 4-D)

- Contract Amendment: Bi-lateral signatures are required
- To add, modify, or delete goals and/or objectives of the project
- A narrative explaining and justifying the requested change is required

Common errors

- Does the requested modification change the whole scope of the grant?
- May need pre-approval from the federal funding agency to modify the sub grant (i.e. Coverdell, NCHIP)

NOTE: VERBAL APPROVAL IS NOT SUFFICIENT
DCJ MODIFICATION REQUESTS

Contract Modification Tools:

- **General Approval** - used to update project officials, some budget revisions, **late start dates** and close the grant early

- **Grant Funding Change Letter** - used to increase or decrease funding without a change in the Statement of Work

- **Option Letter** - this form is used for a change in grant award period and other changes not related to the statement of work

- **Contract Amendment** - changes in goals and objectives as some budget changes

A modification request must be submitted in COGMS no later than 60 days prior to the grant end date.
**DCJ FORMS**

Form 16

QUARTERLY FINANCIAL REPORT & PROJECT INCOME REPORT (IF APPLICABLE)

Forms 13 and 5

QUARTERLY NARRATIVE FORMS (2Q)

General Approval Option Letter Contract Amendment

PAYMENT REQUEST
CLOSING OUT A GRANT
CLOSING OUT A GRANT

- Verify that copies of all reports, including final reports (final project income reports if applicable), have been submitted and copies are in your working grant file.
- Verify that all back-up materials (timesheets, invoices, accounting reports, etc.) for 1-A’s are in your working grant file.
- For equipment grants: the Form 5 is submitted.
- Verify that all formal monitoring findings have been resolved, if applicable.
- Records retention: 3 years after the Final Financial Report (DCJ Form 1-A) has been approved by DCJ.
CLOSING OUT A GRANT

- Contracts Management System (CMS): Statewide database for all contracts/grants with the State. Includes grants awarded by DCJ. All grants over $100,000 will receive a Final Performance Rating generated by DCJ which will be posted on CMS. This will be emailed to the Project Director for your file.
FEEDBACK AND QUESTIONS

Who to call/email:

Financial Matters
Cindy Johnson   (303) 239-4443
Cindya.johnson@state.co.us

All Other Grant Questions:
Kyle McDonald    (303) 239-4452
kyle.mcdonald@state.co.us

Please complete a brief survey regarding this training:
https://www.surveymonkey.com/r/2XX8Y35
I certify that I have completed this 2016 Module 102: Grant Management and Reporting training.

Date Completed:________________________________________
Name:__________________________________________________

☐ Project Director or ☐ Financial Officer (check one)

Grant Number:___________________________________________
Project Name:___________________________________________
Email Form to: cdps_dcj_oajjagrants@state.co.us