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.
Examine data to identify issues and gaps

Identify programs to meet state priorities

Monitor implementation of funded programs

Collect and analyze program data to assess impact

Refine program strategy and measure impact
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 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 EEOP and Civil Rights Act certifications
- Signed program agency EEOP 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 disbursal of federal funds using the ICR.
• Initial disbursal will be in the amount of the program’s expected expenses for the first 60 days of the grant.
• Subsequent disbursals 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

<table>
<thead>
<tr>
<th>Reporting period</th>
<th>Report deadline</th>
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<tbody>
<tr>
<td>January – March</td>
<td>April 15</td>
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<tr>
<td>April – June</td>
<td>July 15</td>
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<td>July – September</td>
<td>October 15</td>
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<td>October – December</td>
<td>January 15</td>
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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.
  – 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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