



Youth Division

Grant Management Manual for the Safe Haven Grant

Subgrantees of the Youth Division of the Indiana Criminal Justice Institute are required to maintain certain programmatic and financial standards throughout the duration of the grant cycle. The following is a guide to assist you in the management of your grant.

AWARD PROCESS

Once a grant has been approved it must go through several steps before becoming activated at ICJI. Budget proposals may be reduced at the discretion of the State of Indiana. In the event the grant is awarded at a lesser amount than requested by the applicant, the applicant will be notified of the reduced award and will be required to submit a revised budget along with the signed grant agreement and return to ICJI. These documents will then be sent through the state's contract process. Once the agreement has been returned, ICJI will send the grantee an award packet. Each grant is assigned an award period for which it is open (August 1, 2011 through May 31, 2012) A Grantee can begin obligating grant funds on the very first day of the award, even if an award packet has not arrived. Typically, the grant will be open before the grant agreement has been returned to ICJI.

Grant Agreement

Containing language that is pre-determined by the Attorney General's office and the Indiana Criminal Justice Institute, this document serves as a contract between the Grantee and the state. Once the Indiana Criminal Justice Institute Board of Trustees approves an award, an individual on behalf of ICJI's Youth Division will send the document to the Project Director and/or the alternate Point of Contact listed on the original grant proposal form. The Grant Agreement requires the following signatures:

- Authorized Official for the Legal Applicant

Once the Indiana Criminal Justice Institute has received the signed agreement back from the grantee, the agreement will be sent through the State of Indiana Contract Process. During the contract process, the agreement will be reviewed by representatives from the Indiana Department of Administration and the Office of Budget Management. Once the document has been approved by the required authorities, the Indiana Criminal Justice Institute will send a grant award packet to each subgrantee.

In order to officially activate your grant award with the Indiana Criminal Justice Institute you must review and return several of the documents contained in the Award Packet. Below is a description of the documents included in the Award Packet, as well as, a listing of the proper signatory authorities for each.

Award Documents for All Youth Division Awards:

Award Letter: The Award Letter outlines all of the financial details concerning your award. It also contains all of the general **and special conditions** that you will be required to follow as a subgrantee. Please review all conditions carefully as the conditions can change from year to year. Grant recipients must meet **ALL** of the Special Conditions prior to release of any grant funds. Several subgrantees will find that they are required to submit budgetary revisions that will need to be implemented immediately prior to drawing down funds. Please verify any revisions and return it with your other signed documents. The document requires the following signatures and printed signatures:

- **Authorized Official for the Legal Applicant:** *The person who is authorized to sign on behalf of the Legal Applicant for the Award.*
- **Authorized Official for the Fiscal Agent:** *The person who is authorized to sign on behalf of the Fiscal Agent.*

Do NOT change or alter the Grant Award Letter. If you believe a correction is needed, contact the Safe Haven Grant Manager.

Invoice (Previously Claim Voucher): The invoice is what you will use to draw down the funds that you have been awarded. ICJI will not release any funds to a grantee until an invoice has been received. Safe Haven is a reimbursable grant (35 days in arrears), meaning that you need to spend the grant money before you send in an invoice and once submitted, reimbursement will occur in approximately 35 days. CJ will provide you with one copy of the invoice; **you will need to save this on your computer to use throughout the grant period.** Please use the form provided, as altered or re-designed forms will not be processed.

Invoices may be submitted on a **monthly** basis requesting release of funds as reimbursement from CJ to the school corporation. Specific instructions for completing the form can be found on the reverse side of the invoice. The invoice provides line items with your requested allocations. You will need to specify which line item you are requesting for reimbursement. You must provide supporting documentation with the invoice to show how the monies were spent. Failure to do so will cause your reimbursement to be delayed. Funding obligations must be made **prior** to May 31st, 2012, and all outstanding expenses must be paid and the Final Financial Report filed with ICJI within no more than **10** days from May 31, 2012.

- No purchases made **ON or AFTER May 31, 2012** will be reimbursed. These funds will be de-obligated and ineligible. Be cognizant of your funds and **DO NOT** wait until the last minute to spend. **NO extensions** will be given.

REPORTING REQUIREMENTS

THE FOLLOWING DOCUMENTS CAN BE DOWNLOADED FROM THE ICJI WEBSITE:

<http://www.in.gov/cji/2656.htm>

As a sub-grantee of the Indiana Criminal Justice Institute you are required to report on various programmatic and financial activities of the program. Failure to comply with the reporting requirements will result in the revocation of an award. Reports are due on a Semester Basis. Programs must conclude no later than **May 31, 2012 (regardless of last day of school/graduation)**. The following is a schedule of when all reports are due.

- **August 1, 2011-** Grants awarded/ notification given/ grant cycle begins.
- **December 15, 2011**
 - **1st Semester Financial Report**
 - **Program Report-**(August 1 –December 1, 2011)
 - **SRO Reports-**(August 1 –December 1, 2011)
- **May 1, 2012**
 - **Deadline for Grant Amendment Requests-**make sure to review your budgets. Amendments will NOT be accepted after this date.
- **May 31, 2012**
 - **Project End Date**
 - **Invoices- All Grant funds must be expended or encumbered.**
 - any purchases made on or after this date are ineligible and will NOT be reimbursed
 - **2nd Semester Financial Report**
 - **Grant Cycle Ends**
- **June 15, 2012**
 - **Final Financial Report** (if applicable)
 - **Final Program Report-**(December 2, 2011- May 31, 2012)
 - **SRO Reports-**(December 2, 2011-May 31, 2012)

1st Semester Finance and Program/Narrative reports include the months of August, September, October, and November.

2nd Semester Finance and Program/Narrative reports include the months of December, January, February, March, April, and May.

All reports are due to the agency on or before the date they are due (not postmarked).

If the required reports are not submitted to the Indiana Criminal Justice Institute on time the award will be frozen and future funding WILL be effected.

All Financial Reports require an original signature from the Project Director and the Financial Officer. Any reports not containing original signatures will be returned to the program director and a hold will be placed on the award until the report is submitted with the correct signatures.

COMPLETING FINANCIAL REPORTS

A Financial Report must be submitted every semester for which the grant is active. All grantees are required to submit a semester financial report, even if no funds were spent and/or drawn down. Sections 1-4 of the financial report are the primary identifiers of the grant.

Date:

School Corporation:

Grant Number:

Reporting Period:

1st Semester

2nd Semester

Final

Grant Number: This is where the assigned Grant Number for the project should be filled in. The Grant Number is located at the top of the Grant Award Letter.

Project Period: Enter the award dates for the grant cycle.

Reporting Agency: Enter the name of the School Corporation overseeing this particular grant award.

Report Number: Place a "check mark" or "x" in front of the semester that the report covers.

The next section of the Report covers the Expenditures and Unpaid Obligations incurred during the quarter.

Category	Approved Budget	This Semester Expenditures	Total Expenditures	Unpaid Obligations (if applicable)	Balance
Personnel					
Contractual					
Travel					
Equipment					
Operating Expenses					
Total					

- **Approved Budget:** Enter the total amount of **grant** funds, for each budget category. This should match the budget summary from the approved budget summary on the grant proposal.
- **This Semester Expenditures:** Enter the total amount of funds spent in each budget category during the semester for which you are reporting.
- **Total Expenditures:** Enter the total amount of funds spent from each budget category from the beginning of the grant period through the end of the semester for which you are reporting.
- **Unpaid Obligations:** Enter the amount of grant funds that have been obligated but not yet expended. This amount should be reported in the unpaid obligations column until they are expended. Once they are expended they should be categorized as an expenditure of that semester. * Final finance reports will only need to be turned in if there are unpaid obligations on the 2nd semester finance report. This report will show that the obligations have been expended and the balance will be zero.
- **Balance:** Enter the amount of funds remaining in each budget category. DO NOT deduct the unpaid obligations from the balance until the obligations have been expended.

The next section of the form is reserved for reporting the expenditures by funding source. **Must be completed by ALL GRANTEES**

Report of Expenditures by Source {Include approved grant funds(state) and cash, programmatic and in-kind match(local)}. The total in this section is the total amount for the program (including match and grant dollars).					
SOURCE	APPROVED BUDGET	THIS QUARTER EXPENDITURES	TOTAL EXPENDITURES	UNPAID OBLIGATIONS	BALANCE
STATE FUNDS					
LOCAL FUNDS(match)					
TOTAL					

- **State Funds:** Enter any funding awarded to your program from the state that is a portion of your CJI budget.
- **Local Funds:** Enter the amount of matching funds that your program is required to contribute. You must document and keep track of the local match. Failure to document will delay reimbursement and could effect future funding opportunities.

Finance reports must be signed by both the superintendent and the fiscal officer. They should reflect actual expenditures and the approved Total Project budget. In the event you do not have anything to report; a finance report will still be required for that semester.

GRANT AMENDMENT REQUEST

A grant amendment is a change in the budget such as reallocation of funds. It is important to confirm the rate of your expenditures occasionally during the grant period to ensure the expenditures are on track so funds can be reallocated if necessary. Grant amendment requests may be submitted to the Youth Division any time during the grant prior to **May 1st, 2012**. Grant amendment requests may be approved to move funds from one authorized category to another, but a new spending category may not be added that may change the original purpose of the grant. Any change in budget, total award, program or changes in grant funded staff must be requested to the Indiana Criminal Justice Institute in writing. All requests for programmatic and/or administrative budget changes must be submitted to the Indiana Criminal Justice Institute for approval. All requests for changes shall be reviewed by the Grant Manager, Division Director and Chief Deputy Director for applicability to project goals and objectives. **The Indiana Criminal Justice Institute requires that an amendment request be filed whenever a change to the original scope or budget on file needs to occur.**

Administrative Review:

- Changes in Budget involving the transfer of funds from one category to another
- Increase in funding less than 10% to the Total Project Cost
- Increase in funding is less than \$6,000

Board of Trustees Review

- Any significant Project Change
- Increase in funding of more than 10% of the Total Project Cost
- Increase in funding is more than \$6,000

The following are examples of when you may want to request a reallocation of funds:

- If you were awarded grant funds to purchase a computer but found what you really need is a copier. You may want to reallocate funds from one area to equipment in order to purchase the copier, which costs more than the computer.
- You discover you have extra funds in one category and not enough in another. If this happens, you may want to reallocate funds.

The form requires that a narrative be completed to explain the requested changes and the justification for the change. Be sure to include all details associated with the changes. If additional information is needed, ICJI will contact the project director.

If budgetary changes need to be made, you must complete the Budget Detail Worksheet.

A. Personnel	Original Budget	Current Budget	Requested Revision	Amended Budget
Basic Training. – Denver, CO	\$ 11,600.00	\$ 12,200.00	\$ 600.00	\$ 12200.00

D. Travel and Per Diem	Original Budget	Current Budget	Requested Revision	Amended Budget
Basic Training. – Denver, CO	\$ 1,600.00	\$ 1,000.00	(\$ 600.00)	\$ 1000.00

- **Original Budget:** List the original budget approved by the Indiana Criminal Justice Institute on the grant proposal.
- **Current Budget:** List the budget amount needed.
- **Requested Revision:** List the amount of revision (to denote a deduction of funds, you should place the amount in parentheses).
- **Amended Budget:** The new budget, should it be approved.

Once submitted, the Grant Amendment Request will be reviewed by the Grant Manger, Division Director and Chief Deputy Director. After review is complete and a decision has been made, the Grant Manager will notify the project director via e-mail of the determination. A copy of the amendment with the signatures will be forwarded and should be kept in the grant file and forwarded to the finance person for reporting purposes.

PERFORMANCE MEASURES AND PERFORMANCE REPORTING

Performance Measures: Performance Measures assist the Indiana Criminal Justice Institute in determining whether or not a program is meeting the goals and objectives set forth in the grant proposal. The Indiana Criminal Justice Institute uses the data collected on the Semester Performance Reports to determine the successfulness of the programs funded for that grant cycle.

All Grantees of the Youth Division of the Indiana Criminal Justice Institute are responsible for collecting data to complete the performance reports. All Grantees are required to submit regular performance reports. Failure to submit performance reports will result in a revocation of the award.

PROGRAM EVALUATION REQUIREMENTS

In order to determine the level of success of your project, you must make provisions to evaluate the project with an internal assessment. Every program is responsible for creating an internal evaluation system to measure the successfulness of the program. Evaluation allows program implementers to examine the effectiveness of the program as well as to identify any deficiencies within the curriculum.

All Grantees of the Youth Division of the Indiana Criminal Justice Institute are required to develop a method of internal evaluation in the grant proposal. The Indiana Criminal Justice Institute will examine this method during desk reviews and at all site visits.

GRANT FILE MAINTENANCE

All subgrantees of the Indiana Criminal Justice Institute are required to keep a grant file for each award they receive. The grant file should contain, at a minimum, the following documents:

1. Copy of the Grant Proposal Form
2. Copy of all signed Award Documents
3. Copy of revised budget submitted to ICJI.
4. Copy of all Financial Reports.
5. Copy of all Performance and Programmatic Reports
6. Copy of any Grant Amendment Requests and all approved/denied grant amendments.
7. Copy of all submitted invoices.
8. Closeout Confirmation sent by ICJI once the grant has been closed.

Failure to maintain a grant file could result in the revocation of the award and will negatively impact any future funding opportunities with the Indiana Criminal Justice Institute.

ICJI MONITORING AND SITE VISITS

The Indiana Criminal Justice Institute is required to conduct regular desk reviews and site visits of all programs receiving Grant Funding. When conducting these reviews, ICJI staff review all financial and programmatic information as well as any previous grant history.

Desk Reviews: Desk Reviews are conducted at least two times during a grant cycle and are sometimes followed by a site visit. During a Desk Review the Grant Manager overseeing the administration of the award will review the status of the grant file and follow up on any unresolved issues. The following items will be reviewed:

1. Proposal that was filed for the current cycle year.
2. All Performance Reports on file for the current grant cycle.
3. All financial reports on file for the current grant award.
4. Previous grant file and grant proposal.
5. Any additional information submitted to ICJI by the grantee.

Site Visits: Site Visits are a necessary part of grant administration and are not necessarily conducted as a result of a negative finding during a desk review. Every Grantee will receive a site visit at some point during the grant cycle. Grantees will receive ample notice prior to the visit and will be notified of all required information before the visit. During a site visit the Grant Manager will review the following items:

1. Grant file for the last three grant cycles (if applicable).
2. Programmatic materials related to the administration of the program.
3. All Financial Records associated with the grant.
4. The daily activities of the program.

Grant Closeout

In order to close a grant award, all Financial Reports and Performance Reports must be on file at the Indiana Criminal Justice Institute. All obligations must be made **by May 31, 2012**.

2nd Semester and Final Financial Reports: If at the end of the second semester a zero balance is reported a final financial report will not be necessary. If the second semester report reflects any unpaid obligations a final financial report will be required.

COMMON Q & A'S

HOW IMPORTANT IS MY GRANT NUMBER?

- Your Grant Number is vital in the administration of your grant through the Indiana Criminal Justice Institute (ICJI). List your Grant Number on ALL correspondence with ICJI, and have it available whenever you call with questions about your grant. The current grant number will look like the following 11-SH-000.

NOW THAT I'VE BEEN AWARDED THIS GRANT, HOW DO I DRAW DOWN THE MONEY?

- Fill out an **Invoice**. There should be an Invoice in your Grant Award Packet and you will need to save on your computer if you are sending more than one invoice. **Grant funds may be requested on a monthly basis**. Specific instructions for their completion are located on the back of the invoice and are included in your packet. Be sure to provide only the information requested and that your Fiscal/Financial Officer signs the bottom. An Invoice may be delayed for processing if not properly completed; an original signature is not provided; or if reporting information is not up-to-date. Safe Haven is a **reimbursable** grant meaning that you must spend the grant money before you send in an invoice. Sending in an invoice means you are ready to be reimbursed. Also, when sending in invoices we need supporting documentation (i.e.: invoices, purchase orders, etc...) with the invoices to show where the money has been spent. Invoices can not be processed if expenditures are not shown.

HOW OFTEN DO I SUBMIT PROGRESS AND FINANCIAL REPORTS?

- Semester Narrative/Program Reports and Semester Financial Reports are due every semester to ICJI (dates are listed on the Important Dates to Remember). Reports not submitted by the required deadline **WILL** cause a hold on your grant funds and effect future funding opportunities.
- Semester Program Reports should only address questions listed on the form. *It is entirely optional to include any information other than what is requested on the form.*
- Semester Financial Reports should list **actual expenditures as of the end date of the semester being reported on for grant and MATCH dollars (only in bottom section #6)**. Estimated expenditures are not acceptable.
- Final FINANCIAL Reports (if needed) are due by June 15, 2012. **Final Financial Reports cannot reflect Unpaid Obligations.**

HOW CAN I MAKE CHANGES TO MY GRANT: I.E. BUDGET, PROGRAM OR PROJECT ENDING DATE)

- Changes must be approved through ICJI and must be proposed through a **Grant Amendment**. One form is included with your packet and will be located on the ICJI website. If you are contemplating a change in your grant which would require a Grant Amendment Request, please contact the Safe Haven Grant Manager for specific information on the changes you are seeking. The following changes require a Grant Amendment Request:
 - **Budget** Some changes may be approved administratively by ICJI. **The ICJI Board of Trustees must approve budgetary changes over a certain level.**
 - **Program** – Dramatic changes in your Program such as services provided, a change in Project Director, change in Legal Applicant, or change in Fiscal/Financial Officer.