Section 1: Table of Contents

Section 2: ICJIA Grants Policy Statement

All staff shall treat others with professionalism, courtesy, dignity, and respect.

Internally, FSGU, OGC, OFM, and R&A shall foster teamwork, shared responsibility, and recognition among staff at all levels. Externally, we will facilitate constructive relationships with policymakers, criminal justice agencies, and other stakeholders throughout the justice and victim services systems.

To accomplish these tasks, our work must be of high quality. That is, ICJIA's grant administration work shall be useful, informative, timely, complete, accurate, cost-effective, objective, accessible, and reflective of best professional practices. ICJIA staff members who are involved in grant administration are expected to generate high-quality work products, contributing to ICJIA's goal of improving the administration of criminal justice in Illinois.

Section 3: Federal Grant Award Management

I.   Application Submission

For each federal grant award, an application must be prepared to be submitted through either GMS or Grants.gov. The Award Specialist is responsible for the submission of all applications. The Award Specialist coordinates this process with the Program Manager and outlines all of the tasks associated with the completion of the application.

A. Once the grant application is posted in GMS or Grants.gov and/or announced via email notification, the Program Manager shall notify the staff with associated tasks/responsibilities, and instruct the Award Specialist to register the application. The Award Specialist shall complete the online application registration through GMS or Grants.gov.

B. The Award Specialist shall create a new folder identified by the award name and federal fiscal year within the Fund Administration folder on the FSGU drive.

C. The Award Specialist shall download and review the grant solicitation, and save it and all application materials in the award folder.

D. The Award Specialist shall create a timeline that outlines all associated tasks and due dates, providing sufficient time for the careful preparation, review, and submission of the application materials. The timeline should also include planning sessions to discuss all application details and assignments, as needed. The timeline shall be submitted to the Program Manager for approval.

E. The Award Specialist shall forward the grant solicitation and approved timeline to all staff with associated tasks/responsibilities. Staff may be required to forward the guidelines and timeline to grantees who may be assisting with the material preparation. Staff shall e-mail all completed materials to the Award Specialist by the due date specified on the timeline.

F. The Award Specialist is responsible for the compilation, review, circulation, and submission of the application packet, which may include:

- Cover sheet
- Timeline
- Grant solicitation
- Checklist
- SF-424
- Program abstract
- Program narrative
- Budget detail worksheet
- Budget narrative
- Supporting documentation
- Appendices
- SPOC letter
- LRU-192

G. Once the application packet has been approved, the Award Specialist shall upload the application into GMS or Grants.gov and submit three hard copies to the SPOC.

H. The Award Specialist, within two weeks of application submission, shall create a masterfile for each award and shall file all contents of the application packet in the masterfile.

I. The Award Specialist shall make an electronic copy of the application and save it to the corresponding electronic file and forward to staff accordingly.

II.   Award Acceptance

A. Once the application has been approved by the OJP, ICJIA will be notified of the grant award via GMS and/or email notification.

B. ICJIA will receive the grant award and special conditions documents, which must be reviewed, signed, and returned adhering to the acceptance instructions per GMS.

C. The Award Specialist shall be responsible for the preparation and submission of all award acceptance packets, which include:

- Cover sheet
- Post-award instructions
- Award acceptance checklist
- Cover letter
- Signed award document
- Initialed special conditions document
- EEOP approval letter

D. The Award Specialist shall compile the materials into a folder and circulate it to Executive Staff for review and signature before electronic submission as specified in the acceptance instructions.

E. The Award Specialist shall submit the acceptance packet within two weeks of the award date.

F. The Award Specialist, within two weeks of submission, shall file the award acceptance in the masterfile.

G. The Award Specialist shall make an electronic copy of the award acceptance, save it to the corresponding electronic file, and forward hard copies to Fiscal and OGC.

H. Once the award acceptance packet is submitted and approved, and the status on the awards page in GMS is changed to "Awarded, Acceptance Received from Grantee," the Award Specialist shall update ICJIA's Program Funding Chart with the new award and submit it for posting to the agency intranet. The Award Specialist shall also email the award document with the special conditions to OGC for the creation of the boiler.

I. The Award Specialist shall access the GOMB/GATA/CSFA website to add a new award/program and/or make updates to the existing information in the continuation award.

J. OGC will review the federal award letter and create a new boiler. OGC will ensure that all required special conditions are contained in the boiler for the current federal fiscal year. Special conditions will be written into Part Three of the Uniform Grant Agreement and Uniform Interagency Agreement. The new boiler's footer will contain the date that the boiler was updated. OGC will save the updated boiler on the FSGU drive in the folder for the specific federal award. OGC will email the Program Manager when the updated agreement is ready for use.

III. Reporting

Specific reporting requirements must be met for each federal award. Failure to comply with the requirements on a timely basis may result in the denial of disbursal of funds.

A. The Award Specialist shall coordinate the reporting process, work with staff to collect all required documents, and submit all reports through GMS.

B. The Award Specialist shall inform the staff with associated tasks/responsibilities of the timeline for the completion and submission of the report no later than one month before the due date.

C. The Award Specialist shall create a new report folder on the FSGU drive (Planning and Administration folder) and save all report documents in the folder. The Award Specialist will forward all report materials to the appropriate folder.

D. The Award Specialist shall compile the necessary reports and submit for staff review no less than one week before the report due date.

E. The Award Specialist, within one week of submission, shall file the report in the masterfile.

1. Annual:

    a. An annual progress report is required for some awards and is due within 90 days after the end of the reporting period.

        i. For the January 1 through December 31 reporting period, the annual report is due by March 31.

        ii. For the April 1 through March 31 reporting period, the annual report is due by June 29.

        iii. For the October 1 through September 30 reporting period, the annual report is due by December 29.

    b. The content of an annual progress report is determined by the grant fund and may consist of the following:

        - Cover sheet

        - Checklist

        - GMS report (includes responses to standard reporting requirements questions)

        - PMT report

- Narrative report

2. Semi-annual:
   a. Two semi-annual progress reports are required for some awards and are due 30 days after the end of the reporting period.
      i. For the January 1 through June 30 reporting period, the semi-annual report is due by July 30.
      ii. For the July 1 through December 31 reporting period, the semi-annual report is due by January 30.
   b. The content of a semi-annual progress report is determined by the grant fund and may consist of the following:
      - Cover sheet
      - Checklist
      - GMS report (includes responses to standard reporting requirements questions)
      - PMT report
      - Narrative report

3. Closeout:
   a. A final progress report is required for every award and must be prepared as part of a closeout package which must be submitted in GMS. The complete closeout package is due within 90 days after the expiration of the award. The content of the closeout report is determined by the grant fund and may include the following:
      - Cover sheet
      - Checklist
      - GMS report (includes responses to standard reporting requirements questions)
      - PMT report
      - Final Attachment A
      - Final narrative report
   b. The Award Specialist shall coordinate with the Office of Fiscal Management to ensure that the award has been fiscally closed out.
   c. The Award Specialist shall monitor GMS to determine when the closeout has been approved. Final approval is indicated by a GMS status of "Federal Records Center."
   d. ICJIA's Funding Chart highlights in orange any award that has expired. Once the programmatic closeout has been approved by the federal awarding agency, the highlight is changed to red. Once the financial closeout has been approved by the federal awarding agency, the award is considered officially closed and then removed (hidden) on the funding chart.

IV. Grant Adjustments

A grant adjustment is an ICJIA- or grantor-initiated request or notice to change or modify the award. Among the possible adjustments that can be made to a grant through GMS are:

- Budget Modification
- Change Grantee Authorized Signing Official
- Change Grantee Contact or Alternate Contact/Principal Investigator
- Change Grantee DUNS Number
- Change Grantee Mailing Address
- Change Grantee Name
- Change Project Period
- Change Project Scope
- Program Office Approvals
- Sole Source Approval

A. If a grant adjustment is required, the Program Manager shall prepare a detailed letter that explains the need for the modification and submit it to the Award Specialist.

B. The Award Specialist shall go into the Grant Adjustment page in GMS, select and complete the specific grant adjustment page, upload the signed letter, and submit the GAN.

C. The Award Specialist shall track the status of the GAN and notify the Program Manager of the approval or denial of the request.

D. If the award's period of performance has been extended, the Award Specialist shall update ICJIA's Program Funding Chart with the new end date and submit it for posting to the agency Intranet.

E. All GAN requests shall be saved on the FSGU drive under Fund Administration for each grant fund in a folder labeled GANs or Extension Requests.

V. Award Masterfiles

Each federal award shall have a physical masterfile, stored in a locked designated masterfile filing cabinet. The Award Specialist may maintain a personal working file for each federal award. However, all notes, original documents, and records of activity related to the award must be maintained in the masterfile. A masterfile will never be kept out of its respective cabinet overnight. **Masterfiles may not be removed from ICJIA premises under any circumstances.**

A. Once the award has been approved, it is the Award Specialist's responsibility to create a labeled masterfile containing the original application and award documents. Blank masterfiles and labels may be obtained from OAS.

B. Subsequent masterfile documents shall be labeled by staff accordingly in the upper right-hand corner of the document. This is done to indicate the proper location if the document is misplaced.

C. Labeled documents shall be filed in the appropriate tab of the masterfile.

D. Each masterfile shall be organized as follows:

FLAP 1 - Guidelines/Instructions:

1. The Award Specialist shall file the grant solicitation into the masterfile within two weeks of submission of the application.

2. The Award Specialist shall file the post-award instructions into the masterfile within two weeks of submission of the award acceptance.

FLAP 2 – Application/Award:

1. The Award Specialist shall file the application documents (Cover Sheet, Timeline, Checklist, SF424, Program Abstract, Program Narrative, Budget Detail Worksheet, Budget Narrative, Supporting Documentation, Appendices, SPOC Letter, LRU192) into the masterfile within two weeks of submission of the application.

2. The Award Specialist shall file the award documents (Cover Sheet, Email Correspondence, Cover Letter, Award Document, Special Conditions, EEOP for ICJIA Letter) into the masterfile within two weeks of submission of the award acceptance.

FLAP 3 - Attachment A's:

1. The FSGU Administrative Assistant shall file updated Attachment A's and related Budget Committee memos into the masterfiles as they are created and/or revised.

2. The most current documents shall be placed on top.

FLAP 4 - GANS/Fiscal Reports:

1. The Award Specialist shall file GANS to the masterfiles, as they are approved.

2. GANS shall be placed in chronological order with the most recent on top.

3. OFM staff shall file fiscal reports to the masterfiles as they are submitted.

4. Fiscal reports shall be placed in chronological order with the most current on top.

FLAP 5 - Progress Reports:

1. The Award Specialist shall file Final Progress/Data Reports to the masterfiles, as they are submitted.

2. Final Progress/Data Reports shall be placed in chronological order with the most current report on top.

FLAP 6 - Correspondence:

1. The Award Specialist shall file the award announcement in the masterfile.

2. Staff shall file all other correspondence, including e-mails and in-house memos related

to the award, in the masterfile.

3. Correspondence must be filed in chronological order with the most recent on top.

Section 4A: Notice of Funding Opportunity (NOFO) Competitive Process & Grant Designations

I.   NOFO Competitive Process

A. <u>Assignment of NOFO:</u> Upon receipt of a state or federal grant award or state grant appropriation, or the identification of a need to fund a program from existing awards or appropriations, the assigned FSGU supervisor shall develop a Budget Committee Memo and Designation Form to request the set aside of funds for the NOFO project and initiate the development of the NOFO.

B. <u>Development of NOFO:</u> The FSGU program manager shall either assume or assign the role of NOFO Lead, and shall assemble of team responsible for the development of the NOFO, as appropriate for the project. This team may include staff from OGC, R&A, FSGU, and/or the NOFO Coordinator. Using the standard timeline template, the NOFO Lead will develop a timeline indicating the required tasks and the target dates for their completion and shall work with team members to assure completion of the tasks.

1. <u>NOFO Content:</u> All NOFOs will be developed using the standard GATA NOFO template. In addition, the NOFO package will minimally include:

   - The Uniform Application for State Assistance

   - Program Narrative which incorporates GATA agreement Exhibits A-G

   - GATA Budget

   - NOFO Public Notice using the Office of Public Information (OPI) template

   - NOFO web content using the OPI template

   As dictated by the project, additional documents such as required certifications and applicant reference and resource materials may also be included in the NOFO package developed by the team.

2. <u>Required Technical Assistance Webinar:</u> All competitive NOFOs will require applicant participation in or viewing of a technical assistance webinar. This webinar will include both the standard grants administration component and a project-specific programmatic component. The draft slides for the webinar will be included in the NOFO package for review.

   In addition, the NOFO Lead will be responsible for scheduling room and ISU technical staff necessary for the webinar and any necessary practice sessions.

3. <u>Public Notice Procurement:</u> A draft procurement requisition for the public notice will be prepared by the NOFO Lead and included in the NOFO package. Upon completion of the public notice, OPI will add the cost of the posting of the NOFO public notice to the procurement form and schedule the notice publication. The FSGU Associate Director shall approve and sign the procurement requisition as part of review of the NOFO package. Once approved, OPI will submit the requisition to Office of Administrative Services for initiation.

C. NOFO Review and Approval:

1. NOFO Coordinator Review: The NOFO Coordinator will review the NOFO package for completeness of materials. The NOFO must also be compliant with all GATA grant making requirements.

2. Reviewer Approval: When the package is complete, the NOFO Coordinator will add the NOFO Checklist template to the package and circulate it for review, comment, and approval minimally to the appropriate FSGU supervisor, FSGU Associate Director, OPI, and OGC. The Coordinator will work with NOFO team members to address any clarifications or revisions required by the reviewers.

3. In addition, the Coordinator will work with OPI and the NOFO Lead to assure the uploading of the approved NOFO materials on the ICJIA website by the posting date.

4. NOFO Posting: The NOFO Coordinator will create a NOFO in the GATA portal and shall upload the approved NOFO document and link to the ICJIA web announcement to the portal.

D. NOFO Technical Assistance Webinar, Applicants Questions, and Reviewer Training:

1. Technical Assistance Webinar: The NOFO web notice will include a registration feature for the mandatory NOFO technical assistance webinar. The registration feature will minimally collect the name, agency, and email address of potential applicants. Once the registration deadline closes, ISU will email all registrants instructions for accessing the webinar.

   The NOFO Lead will be responsible for gathering all of the elements that will be in the webinar materials. Each section should match uniformly throughout the entire Power Point. The Lead will be responsible for conducting the webinar and may include the NOFO Coordinator, R&A, or OGC staff as needed for the particular NOFO.

   ISU will ensure that the webinar is recorded and posted to the NOFO page on the ICJIA website.

2. NOFO Questions and Answers: The NOFO web announcement must include an email address to which potential applicants may submit questions during the application period and include a deadline by which questions must be submitted. All questions must be submitted in writing and answered in writing. Only designated ICJIA staff may respond to public questions. All questions and responses must be posted on the ICJIA website. The NOFO Lead will provide a list of these questions and the ICJIA responses to ISU for prompt posting on the ICJIA website.

3. Reviewer Training: The NOFO Lead will coordinate with other ICJIA staff and external subject-matter experts to form an adequate number of NOFO review teams. Review teams should consist of a minimum of three persons. The number of proposals reviewed by a team should reflect the complexity and workload.

   The Lead will provide the NOFO materials, scoring criteria, and score sheet to the reviewers. The Lead will convene a meeting of the reviewers to discuss the NOFO requirements and scoring process. Reviewers may be invited to review the recorded technical assistance webinar.

E. Application Submission:

All application materials shall be submitted electronically. No faxed or hard copy applications will be accepted. NOFOs shall be opened in accordance with dates and times listed in the NOFO.

Pre-Screening:
The NOFO Lead shall review each submission for adherence to minimum requirements detailed in the NOFO. In addition, the NOFO Lead shall access the GATA portal to ascertain if the applicant has a valid registration and current approved GATA ICQ.

F. Application Distribution to Review Teams: All applications that have been successfully pre-screened for meeting minimum requirements and current approved ICQ shall be distributed to the trained review teams with a date by which the reviews must be completed and the scores submitted to the Lead.

The Lead shall also provide each reviewer with a Conflict of Interest certification that lists the applications that will be reviewed. The Lead will assure that the certifications have been completed. If a reviewer has identified that a potential conflict exists, the Lead may assign that reviewer to a different team with applicants that do not create a conflict or may replace the reviewer.

In addition, the Lead will schedule meetings of the review teams to discuss the applications. Reviewers are discouraged from discussing application scores at these meetings and should instead focus on strengths and weaknesses of the submissions. After these meetings are complete, reviewers must return their completed and signed score sheets to the Lead.

G. Application Scoring and Ranking of Scores: The Lead will enter the reviewer scores into a spreadsheet and rank the applicants that meet minimum scoring standards in accordance with the requirements detailed in the NOFO.

See Section 8 for more detailed instruction on Merit Based Review and Scoring.

H. Application Clarifications: After the completion of the scoring process, it is the responsibility of the NOFO Lead to clarify any programmatic and/or budget issues related to the application and the scope of the program as well as allowability of expenses.

These issues must be resolved prior to development of funding recommendation.

II.   **Grant Designations**

A. Development of Funding Recommendations: The Lead will develop the ranked list of applications that includes the applicant entity's name and average score. Using this list, the Lead will develop a draft Budget Committee memo detailing the NOFO process and listing the recommended designation for each successful applicant. The Lead will submit this list and memo to the appropriate FSGU Supervisor for review and approval.

B. Grant Designations:

1. Announcement of Designations: After the designation of grants from this NOFO,

the NOFO Lead will send a draft announcement to OPI for release to the press and posting on the ICJIA website. OPI will submit the press and web release materials to the Executive staff for review and approval and shall work with ISU to assure the prompt posting of the announcement on the ICJIA web site.

2. Update GATA Portal: Upon designation of the funds, the FSGU Administrative Assistant will update the GATA portal to reflect the designation of grant awards that resulted from the NOFO.

3. Rejection Letters: Upon the Budget Committee's vote, the NOFO lead will send letters to unsuccessful applicants notifying them of the decision.

C. Agreement Processing:

1. Upon Executive staff approval of the draft Budget Committee funding recommendations, the appropriate FSGU Supervisor shall assign the successful applications to Grant Specialists and provide them the submission materials. Grant specialists will be instructed to use a standardized letter template to notify the applicants that a designation is being recommended and requesting any outstanding materials needed for the development of the Notice of State Award (NOSA) and the grant agreement.

2. Upon receipt of the requested materials, the Grant Specialist shall prepare NOSAs and grant agreements for Fiscal and Legal review and approval. Approved agreements and NOSAs shall be sent to Grantees for signature according to Agreement Processing policy with a return target date before the Budget Committee at which the designation will be considered.

3. Upon receipt of the requested materials, the Grant Specialist shall prepare the NOSA through the GATU portal. NOSA shall be sent to grantee for signature with a return target date.

4. Upon receipt of the NOSA, Grant Specialist shall prepare grant agreement for Fiscal and Legal review and approval. Approved agreements shall be sent to grantees for signature according to Agreement Processing policy with a return target date.

III. NOFO Master Files

Upon designation of the grant awards, the NOFO Lead shall create a NOFO master file with the following organization:

- Budget Committee materials: memo, designation sheet, list of applications, and scores.

- NOFO: Approval checklist, NOFO, attachments.

- Master scoring spreadsheet and conflict of interest certifications with flash drive with the electronic applications.

- Award and rejection letters.

- Correspondence between external entities and ICJIA (other than questions/answers that are otherwise documented).

- Questions and answers posted on the website.

- File path for the webinar.

Section 4B: Notice of Funding Opportunity (NOFO) – Non-Competitive Process & Grant Designations

I.   NOFO Non-Competitive Process

A. <u>Assignment of NOFO</u>: Non-competitive NOFOs are developed and posted to maximize openness and transparency in the distribution of grant funds. Non-competitive NOFOs are issued when, by statute or fund guidance, only one entity may implement the specific program. The Executive Director must receive approval from the Budget Committee to use the non-competitive process.

Upon identification of the need to have a specific agency (or agencies), the assigned FSGU Supervisor will access the GATA portal to ascertain if the potential grant recipient has a valid registration and current approved GATA ICQ. The Supervisor shall review the ICQ and request that the potential recipient complete the ICJIA Programmatic Risk Assessment to determine if serious risk factors are identified.

If the Supervisor has determined that the potential applicant does not have risk factors that would inhibit the agency's ability to successfully administer the proposed program, the Supervisor shall develop Budget Committee materials to request the designation of funds for the non-competitive NOFO project and initiate the development of the NOFO.

The FSGU Supervisor shall either assume or assign the role of NOFO Lead.

B. <u>Development of NOFO</u>: Because the NOFO is non-competitive, the NOFO Lead will develop the NOFO materials and submit them directly to the selected grantee. If necessary, the Lead may assemble a team to assist in the development of the NOFO. In this instance, the NOFO Lead will develop a timeline indicating the required tasks and the target dates for their completion and shall work with team members to assure completion of the tasks.

1. <u>NOFO Content</u>: All NOFOs will be developed using the standard GATA NOFO template. The NOFO will indicate the sole entity that is eligible for the grant funding and indicate that the agreement materials have been provided to that agency. While no scoring criteria will be listed in the NOFO, the background, description of the program, and Goals/Objectives/Performance Measures will be detailed.

2. <u>Required Technical Assistance Webinar</u>:

    Not applicable

3. <u>Public Notice Procurement</u>:

    Not applicable

C. <u>NOFO Review and Approval</u>:

1. <u>NOFO Coordinator Review</u>: The NOFO Coordinator will review the NOFO package for completeness of materials and all required GATA components.

2. <u>Reviewer Approval</u>: When the package is complete and GATA compliant, the NOFO Coordinator will add the NOFO Checklist template to the package and circulate it for review, comment, and approval minimally to the appropriate FSGU supervisor, FSGU Associate Director, Office of Public Information (OPI), and the Office of the General

Counsel (OGC). The Coordinator will work with the NOFO Lead to address any clarifications or revisions required by the reviewers.

3. NOFO Posting: The NOFO Coordinator will create a NOFO in the GATA portal and shall upload the approved NOFO document with no link to the ICJIA web site.

D. Technical Assistance Webinar, Applicants Questions, and Reviewer Training:

Technical Assistance webinar is optional based on the Program Manager's discretion.

E. Application submission:

Not applicable.

F. Application distribution to review teams:

Not applicable.

G. Application Scoring and Ranking of Scores:

Not applicable.

H. Application Clarification:

It is the responsibility of the NOFO Lead to clarify any programmatic and/or budget issues related to the application and the scope of the program as well as allowability of expenses.

These issues must be resolved prior to development of funding recommendation.

II. Grant Designations

A. Development of Funding Recommendations:

Not applicable.

B. Grant Designation:

1. Announcement of Designations:

Not applicable.

2. Update GATA Portal:

Upon designation of the funds, the FSGU Administrative Assistant will update the GATA portal to reflect the designation of the grant award that resulted from the NOFO.

3. Rejection Letters:

Not applicable.

C. Agreement Processing:

Upon receipt of all necessary materials, the FSGU Supervisor will assign the grant to a Grant Specialist, who will prepare the NOSAs and grant agreement for Fiscal and Legal review and approval. Approved agreements shall be sent to the grantee for signature with a return target date before the start date of the program.

III. <u>**NOFO Master File**</u>

Upon designation of the grant awards, the NOFO Lead shall create a NOFO master file with the following tabs:

- Budget Committee materials: memo, designation sheet, list of applications and scores.

- NOFO: Approval checklist, NOFO, attachments.

- Reviewer score sheets and conflict of interest certifications with flash drive with the electronic applications.

- Correspondence.

- Questions and answers posted on the website.

- Power Point slides and flash drive with recording of the webinar.

Section 5: Budget Committee

I.   Scheduling

A. Budget Committee meetings shall be scheduled throughout the year as needed. The Executive Director works with the Budget Committee Chair and/or Vice-Chair to determine meeting dates and times.

B. Once a meeting date has been determined, ICJIA Board members, their Budget Committee designees, and any other interested parties who may have requested meeting notices must be immediately notified via e-mail. Notification is normally sent by the Executive Assistant or other staff as assigned.

C. Public notice of regularly scheduled meeting dates and times should be listed on ICJIA's website as soon as possible, and must be listed on the website and posted on the reception area bulletin board at least 48 hours ahead of the scheduled meeting start time, as in accordance with the Open Meetings Act (5 ILCS § 120 et. seq.).

D. No less than seven days prior to Budget Committee, FSGU Administrative Assistant produces meeting materials for distribution.

E. At least 72 hours prior to meeting, FSGU Administrative Assistant sends agenda and materials to webmaster for posting on ICJIA's website. A link to the posted materials and a .pdf copy of the materials are distributed to ICJIA's Board and Budget Committee designees via email by the Executive Assistant.

F. At least 48 hours prior to the meeting, FSGU Administrative Assistant posts agenda on bulletin board and webmaster posts agenda/materials on website.

II.   Budget Committee Meeting Preparation

A. The Budget Committee agenda is developed in coordination with the FSGU Associate Director, the FSGU Program Managers, and the Executive Director.

B. Under the direction of the FSGU Associate Director and/or the FSGU Program Supervisors, the FSGU Administrative Assistant creates draft Attachment A's detailing changes to affected funding plans. These details include new designations and reductions to existing designations.

C. Draft Attachment A's are subject to approval by FSGU Program Managers, Executive Staff, and/or Fiscal Department management, but need not be presented to the Budget Committee for approval.

D. New Notices of Funding Opportunity (NOFO): Prior to the development of any new NOFO, FSGU Grant Specialists, as assigned, or FSGU Program Supervisors, as assigned, must draft language describing the NOFO for inclusion in a Budget Committee program plan adjustment memo. NOFO descriptions must include program scope, grantee eligibility requirements, program time-frame, amounts of funds available, and fund source. NOFOs must be approved by the Budget Committee prior to

being made public/available.

E. Returned Funds: FSGU Grant Specialists must notify FSGU Program Managers of any funds returned from any grants under said FSGU Grant Specialists' purviews by submitting a Designation Revision Form(s) to the appropriate Program Manager(s) prior to the completion of a spending plan revision. The Program Manager is responsible for putting the Designation Revision Form in an electronic folder. The current folder can be found here: P:\BUDGET\Designation Revisions needing action. Designation Revision Forms are reviewed during Attachment A development to identify funds that can be made available for future programming.

F. New Designations: Prior to any designation recommendation to the Budget Committee, the appropriate FSGU Grant Specialist(s), as assigned, must negotiate grant agreement and budget details with prospective grantees. Those details must then be specified in a Grant Recommendation Report and submitted to the appropriate FSGU Program Manager.

G. Budget Committee Memo(s) will be developed by the FSGU Program Manager(s) for presentation to the Budget Committee. Memos shall describe returned funds and/or recommended designations and/or NOFOs and/or other information as appropriate. Memos shall indicate they are from the FSGU Associate Director.

H. The FSGU Administrative Assistant, or other staff as required or assigned, shall prepare a Budget Committee Chair's Briefing that identifies likely attendees and agenda items and their required actions, as appropriate.

I. The FSGU Administrative Assistant, or other staff as required or assigned, shall coordinate with Office of Administrative Services staff, or other staff as required or assigned, to ensure that the meeting venue is arranged in a manner conducive to holding a Budget Committee meeting. This includes proper arrangement of chairs, tables, podium, etc.; display of nameplates of meeting attendees; provision of any hard copy materials; and procurement, set-up, and/or operation of any required audio-visual or other equipment.

III.   Meeting Materials/Content

A. All Budget Committee meeting packets shall include an agenda, previous meeting minutes (if available), and memo(s) with information on the proposed agenda items. When designations are being requested, the committee shall be provided a memo specifying the recommended designations. Supplemental materials may be included or excluded at the discretion of the FSGU Associate Director.

B. Meeting materials shall be distributed electronically in .pdf format to all ICJIA Board members, their Budget Committee designees, and any other interested parties and posted to ICJIA's website upon approval by ICJIA's Executive Director.

IV.   Meeting Conduct

A. An Open Meetings Act officer must be present for the duration of the meeting.

B. Meeting proceedings shall be audio recorded.

C. A roll call of ICJIA Board Members and their Budget Committee designees must be conducted prior to any discussion on agenda items requiring votes.

D. The Budget Committee shall vote on minutes of the previous meeting and consider any other agenda items.

E. FSGU staff members shall, if possible, attend all Budget Committee meetings at which programs under their purview are to be discussed and shall be prepared to provide information concerning any such program.

V. Post-Budget Committee Meeting Tasks

A. Budget Committee Action Summary

  1. The FSGU Administrative Assistant shall submit a draft Summary for approval to the Executive Director, FSGU Associate Director, and General Counsel. As appropriate, the draft Budget Committee Action Summary shall also be submitted to the FSGU Program Managers.

  2. No later than five business days after the Budget Committee meeting, the FSGU Administrative Assistant shall produce and the Executive Assistant or other staff as assigned shall forward the approved Budget Committee Action Summary to Authority Board members, their Budget Committee designees, and any other interested parties.

  3. No later than five business days after the Budget Committee meeting, the FSGU Administrative Assistant shall forward the approved Budget Committee Action Summary to ICJIA's webmaster to be posted on ICJIA's website. The webmaster must post the Budget Committee Action Summary as soon as possible.

B. Updating Attachment A's

  1. The FSGU Administrative Assistant must adjust the appropriate Attachment A(s) to reflect the Budget Committee's actions. Write-protected copies of the Attachment A must be saved in S:\Attachment A's on Intranet.

  2. The FSGU Administrative Assistant must advise the webmaster as to which updated Attachment A(s) must be posted to the intranet and ICJIA website.

C. eGMIS: The FSGU Administrative Assistant will update eGMIS information to reflect the Budget Committee's actions. This may involve making adjustments to existing information or entering new information.

D. Master Files: The FSGU Administrative Assistant will place copies of the Budget Committee meeting memos and Attachment A's relating to the federal, state, or other funding sources upon which the Committee acted in the appropriate Program Master File's Attachment A section.

E. The FSGU Program Manager(s) will notify the FSGU Grant Specialists of any pertinent Budget Committee action so that the FSGU Grant Specialists can notify their grantee(s).

Section 6: Merit Based Review

I.   Procedure

A. Evaluation Criteria

   1. Evaluation criteria must be included in the NOFO and, at a minimum, must include the following criteria categories:

     a. <u>Need</u> – Identification of stakeholders, facts, and evidence that demonstrate that the proposal supports the purpose of the grant program.

     b. <u>Capacity</u> – The ability of the entity to execute the grant project according to project requirements.

     c. <u>Quality</u> – The totality of features and characteristics of a service, project, or product that indicate its ability to satisfy the requirements of the grant program.

     d. <u>Grant Specific Criteria, if applicable</u> – Criteria that relate specifically to the service described in the NOFO.

   2. Examples of other potential evaluation criteria:

     a. Societal Impact

     b. Economic Impact

     c. Cost Effectiveness

     d. Sustainability

     e. Cost sharing (i.e., match), when applicable. Cost sharing must be specifically defined as to how it will be considered, such as to assign a certain number of additional points to applicants who offer cost sharing or to break ties among applications with equivalent scores after evaluation of all other factors. Cost sharing as an evaluation factor must include any restrictions on the types of costs that are acceptable (e.g., in-kind contributions).

   3. Review Committee

     a. Merit based review of the Competitive Uniform Grant Application packet shall be prepared in accordance with 2 CFR Section 200.204 and include the evaluation process description, criteria, and importance stated in the grant application. The evaluation process shall include:

       i.   Evaluation shall be conducted by a committee. Evaluation Committee members shall be determined by the Associate Director (or designee), tailored to the particular grant application, and include technical or other personnel with expertise to ensure a comprehensive evaluation of applicants, as appropriate.

ii. At a minimum, review committee should consist of at least three people, comprised of ICJIA staff who are familiar with the NOFO process and may also include internal or external subject-matter experts.

iii. All evaluation committee members must sign a Confidentiality Agreement and Conflict of Interest Disclosure to participate in the evaluation process.

iv. FSGU Program Supervisor should coordinate a pre-application meeting with all reviewers to go over the application and scoring, and to provide foundational information, answer questions, etc.

v. Grant applicants are not allowed to be evaluation committee members for which they have a conflict of interest, as defined in the Conflict of Interest form.

vi. Evaluation members must be assigned a code for identification of their evaluation process. Program Administrator will assign a code for each evaluator. Score sheets turned in by the evaluator must not include the member's name, but must include the member's code. Evaluator names will be available only as required by law, such as for audit or litigation requirements.

vii. The Evaluation Committee members may be removed by the Executive Director (or designee) for due cause, such as failure to comply with directions of the grant application and/or evaluation process, or to ensure the integrity of the grant. The Executive Director (or designee) shall state in writing his or her reasons for removing a Committee member.

viii. Evaluation shall be based on numerical rating, unless another scoring methodology is more appropriate based on the unique circumstances of the grant program. The scoring tool shall reflect the evaluation criteria and ranking set forth in the Notice of Funding Opportunity.

4. Review of Submissions

   a. Evaluators will review applications for substance prior to a review team meeting. Evaluators will not score applications before the team meeting.

   b. Program Administrator (or designee) will coordinate a review team meeting to discuss strength and weaknesses of applicant submissions, but individual scores will not be discussed at this meeting.

   c. After the meeting, Evaluation Committee members must complete an individual score sheet for each applicant. This score must be done independently of the whole committee. Hard copies of final scores should be signed by the reviewer.

   d. Any significant or substantial variance between evaluator scores shall be reviewed and documented by the program manager. The program manager, at his/her discretion, may discuss the outlier with the specific reviewer. If the reviewer wishes to change their score, the revision of an individual score must be documented.

e. The program administrator (or designee) must complete a summary score sheet that shows the comparative scores and resulting finalists for awards. The summary score sheet will be used to develop funding recommendations for the Budget Committee.

f. A subsequent meeting should be held with the reviewers and individuals involved in creating the NOFO to discuss any lessons learned and/or adjustments that should be made for future funding opportunities.

B. Notice of State Award (NOSA)

1. An award shall be made pursuant to a written determination based on the evaluation criteria set forth in the grant application and successful completion of finalist requirements.

2. A Notice of State Award (NOSA) will be issued to the Merit Based finalists that have successfully completed all grant award requirements. Based on the NOSA, the Merit Based finalist is positioned to make an informed decision to accept the grant award. The NOSA shall include:

   a. The terms and conditions of the award.

   b. Specific conditions assigned to the grantee based on the fiscal and administrative and programmatic risk assessments. The NOSA will be sent out with the uniform grant agreement and before Budget Committee.

C. GATA and Denial Process

1. The FSGU Administrative Assistant will forward the grant award announcement to GATU. Upon acceptance of the grant award, announcement of the grant award shall be published by the awarding agency to Grants@Illinois.gov.

2. A written Notice of Denial shall be sent to the applicants not receiving awards and shall include the reason(s) for the denial. Reasons for denial would include one of the following:

   a. Did not meet minimum requirements;

   b. Did not meet minimum score;

   c. Lost in competition with another entity.

II.   **Appeal Process**

A. Competitive grant appeals are limited to the evaluation process. Evaluation scores may not be protested. Only the evaluation process is subject to appeal. The Executive Director (or designee) will appoint an individual to respond to any grant-related appeals and make a recommendation to Office of General Counsel for review. OGC will review the appeal, corresponding recommendation, and submit them to the Executive Director for review. The Executive Director will have 10 business days to provide the final determination to OGC.

B. Applicant Submission of Appeal

1. An appeal must be submitted in writing in accordance with the grant application document.

2. An appeal must be received within 14 calendar days after the date that the grant award notice has been published.

3. The written appeal shall include at a minimum the following:

    a. The name and address of the appealing party.

    b. Identification of the grant.

    c. A statement of reasons for the appeal.

C. ICJIA Response to Appeal

1. ICJIA must acknowledge receipt of an appeal within fourteen (14) calendar days from the date the appeal is received.

2. ICJIA should respond to the appeal within 60 days or supply a written explanation to the appealing party as to why additional time is required.

3. The appealing party must supply any additional information requested by the agency within the time period set in the request.

D. Stay of Grant Agreement/Contract Execution

1. When an appeal is received, the execution of the grant agreement/contract that were selected for funding under the relevant NOFO shall be stayed until the appeal is resolved unlessthe Executive Director (or designee) determines that the needs of the State require moving forward with grant execution while appeal is pending. When such a determination is made, the decision and rationale shall be documented in writing.

E. Resolution

1. The Appeals Review Officer (ARO) shall make a recommendation to the Executive Director (or designee) as expeditiously as possible after receiving all relevant, requested information.

2. In determining the appropriate recommendation, the ARO shall consider the integrity of the competitive grant process and the impact of the recommendation on the State Agency.

3. The Agency will resolve the appeal by means of written determination.

4. The determination shall include, but not be limited to:

    a. Review of the appeal

    b. Appeal determination

    c. Rationale for the determination

F. Effect of Judicial Proceedings: If an action concerning the appeal has commenced in a court or administrative body, the Executive Director (or designee) may defer resolution of the appeal pending the judicial or administrative determination.

G. Requesting Discussion of Applicant's Scores: Unsuccessful applicants that did not receive funding due to low scores may request their scores. Requests for scores must be in writing and submitted within (14) calendar days after receipt of notice of Denial.

Section 7: Pre-Grant Agreement Processing

I. Registration and Pre-Qualification Procedure

The prospective grantee must be registered and pre-qualified prior to receiving a grant from ICJIA. (30 ILCS 708/25 (6))

II. Notification

A. Existing Grantees: As part of the renewal process along with the release of a renewal agreement, the assigned FSGU Supervisor will direct staff members to give notice to relevant grantees of the need complete their Registration and Pre-Qualification. Grantees may also visit the GATA website and to complete without ICJIA direction.

B. New Grantees: Notification of Registration and Pre-Qualification requirements will be stated in the NOFO. In addition, a permanent link to the GATA Registration page is posted on ICJIA's website for all new grantees to access.

C. Pre-Qualification includes verification of:

1. Current DUNS number (automated)

2. Current SAM CAGE code (automated)

3. Good Standing with the Secretary of State (applies only to non-governmental entities, automated)

4. Federal Excluded Parties List (automated)

5. Federal Delinquent Debt

6. Illinois DHFS Sanction List

III. Qualification Status

A. Qualified Status for Pre-Qualification: Grant Specialist shall use State Staff Inquiry Screen to verify the status of the Pre-Qualification for those verifications that are automated. If grantee is in "qualified" status, Grant Specialist initiates email notice to grantee communicating "Qualified" status.

B. Non-Qualified Status for Pre-Qualification: Grant Specialist shall use State Staff Inquiry to verify the status of the Pre-Qualification for those verifications that are automated. If grantee is non-qualified, Grant Specialist emails grantee notifying of non-qualified status and any pre-qualification issues the grantee needs to resolve. Grant Specialist may provide technical assistance to remediate those issues. Grantees on Federal Excluded Parties List cannot be remediated and will not be eligible for grant awards. Grantee must inform Grant Specialist and provide documentation when pre-qualification issues are successfully remediated.

Section 8: Risk Assessments

I.   Purpose of Programmatic Risk Assessment

The Programmatic Risk Assessment (PRA) tool measures risk at the program agency level and is specific to each program. The PRA is to be used for new and continuation grants.

The template can be found at P:/FORMS/Initiation/Final GATA Documents ICJIA Specific/Programmatic Risk Questionnaire.

II.   Customization of PRA Per Program

Program Manager or NOFO Lead will determine what, if any, program-related items should be added to the PRA. The Program Manager will add those items to Section 5 of the PRA and save it to the FSGU/Grants drive under Grants/Forms/Initiation with a file name to reference that specific program.

III.   Submission of PRA

For new grantees, the PRA shall be included in the required document templates in all competitive Notice of Funding Opportunity (NOFO) postings and submitted as part of the NOFO applications.

For continuing programs, the PRA will be sent to the grantee by the Grant Specialist with renewal documents. The Grant Specialist will provide the grantee with a deadline for the electronic return of the completed PRA including the PDF of the signed grantee certification.

ICJIA does not accept PRAs from other state agencies. Grantees must submit both the completed Excel file as well as a PDF of the signed print out of the PRA. Access to PRA Scores:

ICJIA's PRA is composed of two tabs, "Grantee" and a hidden "ICJIA use only."

To review the Excel file, right click on the "Grantee" tab to get a pull down menu, select "Unhide" to get a menu of available hidden tabs, and click on "ICJIA use only" on the menu.

The "ICJIA use only" copies the information from the "Grantee" tab and also includes a formula column that weighs the grantee responses to each question. Scores of 10 indicate medium risk. Scores of 20 indicate high risk. Generic medium and high risk special conditions are listed to the right.

IV.   Review of PRA Specific Conditions

To the right of the formula column, there is a column that contains the corresponding generic Specific Condition for the risk value of each answer. Review this column to determine Specific Conditions by matching risk value of the answer to the risk value of the Specific Condition.

A. For Continuation Grants, the Grant Specialist shall review the PRA for completeness and identify questions with scores of 10 or 20. The Specialist shall review the generic special conditions associated with those scores to consider whether these suggested Specific Conditions are reasonable for the program and if the Specific Condition can be monitored.

1. If the Grant Specialist has any questions based upon their review of the PRA, they should notify the Grantee and receive clarification. After clarification, grantee may resubmit a corrected PRA.

2. If the Grant Specialist determines that the Specific Conditions should be modified, the Specialist shall email the appropriate Program Manager, attaching the PRA Excel file and asking for guidance. The Program manager shall respond in an email and the Specialist shall save this email to the grant electronic folder.

3. For Programmatic Risk Assessment items which indicate "Specific Conditions to be determined by Program Manager", the Grant Specialist shall email the saved PRA excel file to the Program Manager. The Program Manager will notify the Grant Specialist with the Specific Conditions to be added to the USGA. The Program Manager can discuss any issues with Office of General Counsel as the need arises.

B. For new grants, the NOFO Lead or designee shall review the PRA for completeness and identify questions with scores of 10 or 20, ask the grantee for clarification, and determine which Specific Conditions will apply to the new grant before application materials are given to Grant Monitor for agreement processing.

V.   Exhibit H

The Grant Specialist shall paste Specific Conditions that are indicated by the PRA and those that are approved by the Program Manger Paste into Exhibit H of the grant agreement.

If there are no Specific Conditions from the PRA, delete sentence #1 from Exhibit H.

VI.   Legal Review

Grant Specialist shall prepare the PRA document before legal review.

For medium/high risk Specific Conditions that are flagged by the grantee's response, but will not be included in the grant agreement, Grant Specialist shall type in "Specific Condition not applied" and state the reason. This text shall be typed in directly in the Excel file under the "ICJIA use only" tab and within each Specific Condition cell that generated a medium/high risk. The Grant Specialist shall print the "ICJIA use only" tab from the PRA and include it in the packet for legal review.

If the generic Specific Conditions have been modified through discussion with the program manager, the Grant Specialist shall print the email correspondence approving the Specific Conditions and include it in the packet for legal review. If there are no medium or high risk special conditions, the Grant Specialist shall indicate that on the legal review sheet.

VII. Procedure – Fiscal and Administrative Risk Assessment (ICQ)

A. The following procedures must be adhered to if ICJIA is the non-Cognizant State Agency. This determination is made at the Grant Accountability and Transparency Unit (GATU).

1. Open the GATA portal (https://omb.illinois.gov/Apps/GATA/). Click on the State Staff Inquiry Screen link. (https://omb.illinois.gov/Apps/GATA/GranteeList.aspx)

2. Use the Search option at the top of the page to find the Implementing Agency. Once found, click on the "View" button.

3. Scroll down to the "FISCAL AND ADMINISTATIVE RISK ASSESSMENT (ICQ)" bar. Select the "View" button.

4. Copy and paste SPECIFIC CONDITIONS table into the Exhibit I section of the agreement document.

5. Under exhibit H, in sentence #2 fill in the name of the Cognizant Agency.

6. If necessary, ICJIA can impose additional specific conditions as a result of the grantee's ICQ. These would be placed in Exhibit H. This could be determined by a staff member from FSGU, OFM, or OGC.

B. The following procedures must be adhered to if ICJIA is the Cognizant State Agency. The cognizant agency determination is made at the Grant Accountability and Transparency Unit (GATU).

Enter the specific conditions into Exhibit H as per discussion with OGC/OFM or from bank of specific conditions. For procedure on ICQ discussion with OGC/OFM on determining Specific Conditions as the cognizant agency, refer to Pre-Grant Agreement Processing Policy.

Section 9: Civil Rights Compliance Questionnaire

The Illinois Criminal Justice Information Authority, as a State Administrating Agency, is responsible for verifying that our grantees comply with applicable federal civil rights law. The Civil Rights Compliance Questionnaire (CRCQ) has been created to ensure compliance with federal civil rights laws and regulations.

I.   Grant Processing

A. The Civil Rights Compliance Questionnaire (CRCQ) is required for all federally-funded grantees.

B. Grant Specialists will ensure that the grantee has an approved CRCQ. The approved CRCQ list can be found at P:\FORMS\Monitoring\Site Visit Documents\approved CRCQs.xlsx

C. If the grantee does not have a current approved CRCQ, then the Specialist must send a blank CRCQ form to the grantee for completion. Blank CRCQ forms can be found at P:\FORMS\Monitoring\Site Visit Documents\OGC created documents\ICJIA CRCQ - for Grantees.doc. For renewal grants, the grant specialist must send the forms with renewal materials. For new grants, the grant specialist will send the forms after the applicant has been selected.

D. The grant specialist will review the CRCQ for completeness. The grant specialist should make sure that all of the applicable questions are answered. The grant specialist should not determine if the answers are correct or sufficient.

E. The completed CRCQ form should be forwarded to the reviewing Office of General Counsel (OGC) attorney; it may be delivered to the reviewing attorney with the grant material or separately. The reviewing attorney will make comments on a legal review comment sheet. The reviewing attorney may write comments addressing CRCQ issues on the grant agreement legal review sheet or a separate legal review comment sheet used solely for the CRCQ. The reviewing attorney may review and comment on the CRCQ more than once before the CRCQ is approved.

F. Once the CRCQ is approved, the reviewing attorney will initial the approved CRCQ, scan it, save it on the FSGU grants drive, and update the approved CRCQ list. Depending on the circumstances, the reviewing attorney may approve the CRCQ for a period of one or three years. The reviewing attorney will state on the final legal review comment sheet if the CRCQ is valid for one or three years.

G. The Grant Specialist will send the grantee a letter stating that the grantee's CRCQ has been approved. The CRCQ approval letters can be found at P:\FORMS\Monitoring\Site Visit Documents\OGC created documents. There are separate letters for a one-year and three-year approval.

II.   Monitoring/Site Visit

A. The Grant Specialist will send a copy of the approved CRCQ to the grantee at least fourteen calendar days before a site visit. The approved CRCQ can be found through a

hyperlink on the approved CRCQ list. The grantee contact person should ensure that all of the documents listed on the approved CRCQ are available for inspection during the site visit. If the grantee contact person is not able to locate all of the documents, the grantee contact person must make sure that a person who is able to locate or explain the documents is present at the site visit.

B. The Grant Specialist must print out a copy of the CRCQ Site Visit Checklist and complete this form at the site visit; this form can be found at P:\FORMS\Monitoring\Site Visit Documents\OGC created documents\CRCQ Site Visit Checklist- for Monitor use.docx

Section 10: Monitoring – Lead Agencies and Sub-Grantees

I.   Responsibilities of ICJIA

A. The grant specialist will ensure that all of the items listed below in Section IV (a) are reviewed and approved by the Program Administrator and OGC, and are included as an addendum to the Uniform Grant Agreement between ICJIA and the lead agency.

B. The grant specialist will monitor the lead entity's performance in adhering to the lead entity's standards, policies, and procedures that were approved by ICJIA.

C. The grant specialist will participate in sub-grantee site visits with the lead agency. The number of visits will be determined by the Program Administrator.

D. The grant monitor shall review and approve any lead agency plans to address substantial sub-grantee non-compliance, including the withholding of grant funds, and the suspension or cancelation of sub-grant agreements.

II.   Responsibilities of the Lead Entity

A. Lead Entities must submit the following documentation, which will become an addendum to the Uniform Grant Agreement between ICJIA and the lead entity:

1. Description of the program to be implemented by the sub-grantee;

2. Description of the process that the Lead Entity will use to select sub-grantee and determine sub-grantee award;

3. The agreement template that will be used for the sub-grantee award, including any provisions required by ICJIA.

4. Description of the award process that the lead entity will use to review and execute the award;

5. Description of the monitoring standards and procedures that will be used, including monitoring forms;

6. Description of any grant-related or program-related training and/or technical assistance available to the sub-grantee to ensure proper accountability and compliance with program requirements and achievement of program goals.

7. Description of the disbursal process, including submission, review, and approval of sub-grantee fiscal forms;

8. Description of the submission and review of sub-grantee data/progress forms; and

9. Description of policies and procedures for sub-grantee non-compliance and subsequent appeal.

B. The lead entity will use competitive bidding in the awarding of a sub-grantee, unless written approval has been provided by ICJIA to select sub-grantees through a sole source method.

C. The lead entity will use an ICJIA-approved sub-agreement.

D. The lead entity will use ICJIA-approved reporting and monitoring forms.

E. The lead entity will provide any and all documents to ICJIA upon request or as specified in the lead agency agreement with ICJIA.

F. The lead entity will ensure that the sub-grantee is registered with the Secretary of State (if applicable), has a DUNS number, and has an active SAM registration before a sub-agreement is executed.

G. The lead entity will require sub-grantees to comply with all GATA requirements including, but not limited to, GATA registration, pre-qualification and approval of Internal Control Questionnaire (ICQ) and Programmatic Risk Assessment (PRA). Any required specific conditions required by ICJIA or mandated as a result of the ICQ and PRA must be incorporated into the sub-grant.

H. The lead entity shall obtain sub-grantee indirect cost rate certification if the sub-grantee budget includes indirect costs.

I. The lead entity shall ensure that sub-grantee budgets conform to ICJIA and Federal Financial Guidelines.

J. If the sub-grantee meets or exceeds the level of federal funds as set forth in 2 CFR § 200.501 (currently at $750,000), the lead entity shall verify the sub-grantee has received an audit in accordance with the Office of Management and Budget (OMB).

K. Site Visits:

1. Within 30 days of the execution of the grant agreement between ICJIA and the lead entity, the lead entity must submit the lead entity's site visit schedule for their sub-grantees to the grant monitor.

2. If a monitoring site visit occurs outside of the normal schedule, the lead agency must notify the grant specialist immediately upon scheduling.

3. The lead entity must conduct site visits to monitor programs for compliance with grant guidelines, to ensure the sub-grantee's progress towards the goals of the grant-funded program, and facilitate productive working relationships with sub-grantees. Site visits shall be conducted within six months of new program inception, and every 12 months thereafter, at minimum. Additional site visits may be required as warranted. Site visits are made by the lead entity to engage in one or more of the following activities:

   a. Compliance review.

   b. Meetings with program staff.

   c. Tours of program areas and/or observation of program activities.

   d. Program equipment reconciliation.

   e. Documentation review and auditing, including time sheets.

   f. Review of reporting and procedures

   g. Provision of technical assistance.

4. A site visit report must be submitted to the sub-grantee within 14 calendar days of the site visit. This report must include the site visit tool and a cover letter that includes a

review of issues discussed, identified problems, requested corrective action plans, and corrective action completion dates.

5. Within 7 calendar days, the site visit report and accompanying letter to the sub-grantee must be submitted to ICJIA if the site visit yielded issues requiring a corrective action plan. The grant monitor must either approve the report, or request additional information from the grantee.

L. Closeout: The lead entity must assure that sub-grant closeout is completed within a timeframe to allow a sub-grantee's unspent funds to be returned to the lead agency no more than 30 days after the end of the sub-grantee's period of performance. The lead entity is responsible for returning all unspent funds to ICJIA according to ICJIA policy.

III.   Requirements of Sub-Grantees

A. The sub-grantee is responsible for completing all GATA-required items.

B. The sub-grantee must follow all Federal and/or State statutes, regulations, and terms and conditions as enumerated in the agreement and (if applicable) the Addendum to the Agreement.

C. The sub-grantee is responsible for providing fiscal, data, and other reports to the lead entity. Reports must be done in the manner and method as required by the lead entity.

D. The sub-grantee must ensure that federal and/or state officials, ICJIA officials, lead agency officials, and auditors have access to the sub-grantee's records, personnel, and financial statements that relate to the ICJIA-funded program.

E. If compliance issues are identified by the lead agency, the sub-grantee is responsible for implementing a correction action plan to fully resolve those issues.

Section 11: Monitoring: Agreement Processing – Continuation Grants

I. Grant Assignment

A. Agreement Assignment Email: A minimum of 129 calendar days prior to the scheduled Budget Committee meeting at which the associated program's designation will be submitted for approval, the Program Manager will assign the agreement to a Grant Specialist. Agreement Assignment will be sent via email. The email will specify the date of the relevant Budget Committee meeting and number of days away from the meeting.

B. Grant Specialist Responsibilities after Agreement Assignment: After the receipt of the Agreement Assignment email, the Grant Specialist has seven (7) days to complete the following:

1. Review the Stop Payment List: Review the GATA Stop Payment List. If the grantee is on the list, the Grant Specialist will notify the Program Manager. Program Manager will determine what steps must be taken before a Grant Initiation Packet can be sent to the grantee. A copy of the GATA State Staff Inquiry Grantee Screen showing whether the entity is on the Stop Payment List must be kept in the file.

2. Review the GATA Portal: Confirm that the Grantee has successfully completed the Pre-Qualification and Internal Control Questionnaire (ICQ). If the grantee has not successfully completed the Pre-Qualification or ICQ, the Grantee Announcement Letter must instruct the grantee to resolve any Pre-Qualification or ICQ issues within seven (7) days from the date they receive the Grant Initiation Packet.

3. Review the Grant Funds Recovery List: This list will be maintained and updated by OGC on the shared drive. Determine if the grantee has any pending recovery actions. If pending recoveries exist for the grantee, the Grant Specialist will notify the Program Manager and the Associate Director of the Federal and State Grant Unit (FSGU). Associate Director will determine what steps must be taken before a Grant Initiation Packet can be sent to the grantee.

4. Prepare the Grantee Announcement Letter and Grant Initiation Packet: The Grant Initiation Packet may include, per federal or state requirements:

   a. Grantee Announcement Letter that includes applicable instructions for how to complete documentation.

      i. For Non-profit organization, a Letter of Determination (or Letter of Affirmation), within the last five years, from the Internal Revenue Services (IRS) stating the grantees 501(c)(3) status (if applicable).

      ii. Faith Based Organization Self-Report Form.

   b. ICJIA Documents to be submitted:

      i. Uniform Application for State Grant Assistance

      ii. Program Narrative – Document which includes all of the elements of the following GATA Agreement Exhibits: Exhibit A, Exhibit B, Exhibit D, Exhibit E, and Exhibit F.

       iii.   Budget

       iv.   Fiscal Information Sheet

       v.   Audit Information Sheet

       vi.   Programmatic Risk Assessment

  c. For recipients of Federal Funds

       i.   Equal Employment Opportunity (EEO) Certification

       ii.   Civil Rights Certification Form

       iii.   Lobbying Debarment Certification Form

  d. For Non-profit organizations

  e. Other GATA-required documents as applicable

5. During preparation the Grant Specialist will:

  a. Use the template on the shared drive and update the Grantee Announcement Letter with applicable instructions.

  b. Complete the Uniform Application for State Grant Assistance under the ICJIA section except for #3 Date/Time Received.

  c. Refer to the Database Library under the shared drive to determine if ICJIA has current documents, as listed below, for the grantee that can be included with the Grant Initiation Packet.

  d. If not, the Grant Specialist will need to include blank templates for the grantee to fill out. When returned, the Grant Specialist will save it to the shared Library Folder in FSGU/Grants drive (file name must be the Implementing Agency name and the current date). Current documents that might be on the shared drive include:

       i.   Fiscal – Audit Information Sheet.

       ii.   Fiscal Information Sheet.

       iii.   Certifications:
          a) Equal Employment Opportunity (EEO) Certification.
          b) Civil Rights Certification Form.
          c) Lobbying Debarment Certification Form.
          d) Faith Based Organization Self-Report Form.

       iv.   Letter, within the last five years, from the Internal Revenue Services (IRS) stating the grantees 501(c)(3) status (if applicable).

6. <u>Send the Grantee Announcement Letter and Grantee Initiation Packet:</u> Upon completion of the above, the Grant Specialist will email the grantee a Grant Initiation Packet and Grantee Announcement Letter.

C. <u>Due Dates for Grantee:</u> Grantee must submit the required materials on or before the due date in the Grant Announcement letter. Under no circumstances will the due date be more than 30 days from the date on the Grantee Announcement Letter. Grantee must

successfully complete any outstanding issues with the Pre-Qualification and ICQ within 10 days from the receipt of the Grantee Announcement Letter.

II. Phase I of Grant Review

The Grant Specialist will review the contents of the Grant Initiation Packet for completeness and accuracy and complete required documentation.

A. Grant Specialist's Timeframe for Review of Pre-Qualification and ICQ: Within 10 days of the Grantee Announcement Letter when the Pre-Qualification and ICQ is due for the grantee, the Grant Specialist will review both for completeness.

Refer to Pre Agreement Processing Section of this Policy and Procedures for process on completing specific conditions from ICQ to run concurrently with the timeframe given to grantees for submittal of their Grant Initiation Packet.

B. Grant Specialist's Timeframe for Review of Submitted Grant Initiation Packet: Under no circumstances will the materials review be more than 21 days from the date the grant initiation packet was received from grantee.

C. Concurrent Review by Research and Analysis (R&A) Unit: If it is mandated by the Program Manager, the Grant Specialist shall forward a copy of the Program Narrative to the R&A unit for review and comment on the Goals, Objectives, and Performance Indicators. The Grant Specialist will review the project, including R&A's comments and request the grantee to make changes as required before the agreement is submitted to OGC for review.

D. Grant Specialist Review Criteria: The Grant Specialist reviews the Grant Initiation Packet by reviewing the documents submitted by the grantee to determine the project's compliance with program guidelines and federal financial guidelines (if applicable); reasonableness of the project; consistency in the aspects of the program narrative to budget; and project prior performance. The Grant Specialist should review and/or complete:

1. The applicant-completed section of the UASGA.

2. Uniform Grant Agreement:

   a. Exhibit A (Project Description): provide a comprehensive description of the core functions, activities, tasks, or products:

      i.   Summary of the Program.

      ii. Statement of the Problem.

      iii. Review of Progress (if applicable).

      iv. Program Strategy (if applicable).

   b. Exhibit B (Deliverable and Milestones): List all services, work product, data, items to be created, performed, or provided and/or important events that must occur at specific points throughout the term to be effectively achieve goals.

      Develop an Implementation Schedule

     c. <u>Exhibit C (Payment):</u> Details payment information, such as when or how payments will be made.

     d. <u>Exhibit D (Contact Information):</u> all notices to be sent by either Party shall be sent to the addresses listed.

        i. ICJIA/Grantee contact information.

        ii. Implementing agency must be listed.

     e. <u>Exhibit E (Performance Measures):</u> performance related reporting requirements, describes the indicators or data points that the Grantee must provide, including method and timeframe for submitting data reports. If applicable, logic model must be put here.

     f. <u>Exhibit F (Performance Standards):</u> minimum thresholds for acceptable performance, should correlate to Performance Measures. The Grant Specialist shall both review a grantee's Goals/Objectives/Performance Measures section, and submit a copy to the Research and Analysis Unit, to assure that:

        i. The Goals/Objectives and Performance Measures specified are reasonable and capture both the process and impact of the grant activity.

        ii. Objectives are measurable and directly related to stated goal.

        iii. The data specified can be collected by the grantee.

        iv. Exhibit G and Exhibit H (Specific Conditions): Conditions (and requirements to remove) added here only if there are conditions imposed by risk assessment and fiscal/administrative review.

  3. Budget:

     a. <u>Budget Amounts:</u> Calculate for accuracy, allowable, cost-effective, reasonable, and necessary expenses in relation to the proposed activities.

     b. <u>Narrative:</u> Clearly details how each line item in the Budget is calculated, and clearly explains why each line item is essential to the program. This includes line items for match, if applicable.

     c. <u>Note:</u> Budget should not be signed by grantee at this time – it must be signed at the time of execution.

        i. <u>Programmatic Risk Assessment</u> – Ensure completion, Refer to Risk Assessment Section for further instructions.

        ii. <u>Certifications</u> – Ensure accurate completion.

        iii. <u>Notice of State Award</u> – Refer to Notice of State Award procedure for further instructions.

E. Documentation:

  1. <u>Grant Process Tracking Log:</u> The reviewers will fill out the electronic Grant Process Tracking Log to show the dates each step of the review occurred. FSGU, OFM, and OGC are all responsible for filling out the log to show when the packet was received

and when it was returned. An explanation should be provided by the reviewer to explain why an action was completed after the target date.

2. Email Thread: Grant Specialist will initiate an email thread with the submittal of the grant. This email thread will be continued during the entire review process. FSGU, OFM, and OGC are all responsible for continuing the thread, emailing when the packet was submitted and when it was returned. An explanation should be provided by the reviewer any time that an action was completed after the target date. The subject of the email will state: "Grant Agreement # XXXX Review".

F. Submittal of Packet to Office of Fiscal Management Grant Review: Submittal for OFM review shall be no later than 21 days from the receipt of the grant initiation packet from the grantee. The Grant Specialist will send an email to the staff person from the Office of Fiscal Management with the budget (the budget must be in Excel format, and the budget must be labeled as "Budget for Agreement #XXXXXX - X"). The last number after the hyphen represents the version of the document. For every time that OFM sends back the budget and asks for revisions, the Grant Specialist shall make the revisions and change the number to reflect the new version.

III.   Phase II of Grant Review

The Office of Fiscal Management will review the contents of the UASGA and budget. This phase of review is to take no longer than 7 days. If OFM returns the budget to the Grant Specialist with changes to be completed and it is sent back to OFM, the count will reset and OFM will take up to seven more days for any subsequent review.

Fiscal review procedures are as follows: OFM will save a copy of the budget in a local directory.

A. OFM will respond to the email thread confirming receipt.

B. OFM will enter the date of their review on the Grant Processing Tracking Log.

C. OFM enters the date in an Excel tracking sheet showing when the packet was received, when it was reviewed, and when the approval or fiscal review comments were provided.

D. OFM reviews the UASGA Section 7 (Agreement Number) and Section 57 (Estimated Funding) for accuracy and the Budget and budget narrative for accuracy and compliance with appropriate fiscal guidelines.

E. If not approved, OFM will respond to the email notifying the grant specialist with the list of issues that must be addressed. The Grant Specialist will address any issues in consultation with the grantee and make changes as required. If changes other than those raised by OFM are made, the Grant Specialist shall inform OFM of these changes in the email thread. This step will be repeated as many times as necessary until all issues are addressed and satisfied; however, the goal is to have all issues addressed and obtain approval by the second iteration. At each step, OFM and Grant Specialist will send an email within the thread notifying of OFM decision, tracking when the packet was submitted and returned, and explaining why an action was completed after the target date on the Grant Tracking Log.

F. If OFM approves the packet, OFM responds to the email thread stating that it has been approved; fills out the Grant Process Tracking log and the Fiscal Review Sheet; and attaches both and the budget to the email.

G. Should a grant document within the packet be amended in the middle of this process and the budget is impacted, then this grant document and the budget have to be re-submitted to OFM for a new review.

IV. <u>Phase III of Grant Review</u>

A. Grant Specialist will continue the same email thread from OFM review and forward the following documents to the Office of General Counsel (OGC). The email will be sent to CJA.OGCgrants@illinois.gov. The budget and Programmatic Risk Assessment will be email in excel. All other documents will be emailed in Word or PDF files.

1. Notice of Legal Receipt and Review sheet.

2. Grant process tracking sheet.

3. GATA State Staff Inquiry Grantee Screen.

4. First (and subsequent) Legal Review Comment sheets.

5. Legislative District locator printout.

6. For non-profit grantees only:

   a. Faith Based Organization Self Report, and

   b. IRS 501(c) status letter.

7. For federal grants only:

   a. EEOP certification or equivalent.

   b. Civil Rights compliance certification; and

   c. Certification regarding Lobbying; Debarment, Suspension and Other Responsibility Matter; and Drug-Free Workplace.

8. Programmatic Risk Assessment (excel file).

9. Notice of Fiscal Receipt and Review sheet.

10. First (and subsequent) Fiscal Review Comment sheets.

11. Uniform Application.

12. NOSA.

13. Uniform Grant Agreement or Interagency Agreement; all exhibits, including the Budget (excel file).

14. Other documents, if applicable, such as:

    a. Indirect Cost Rate letter from cognizant agency.

    b. VOCA volunteer waiver.

      c. Job descriptions/resumes.

      d. Trust Fund certification.

      e. JAG waiver for non-profit organizations.

15. Any other required documents not listed above.

16. All applicable correspondence (emails and letters), not listed above, should directly follow the document it addresses.

B. Legal Review Process:

1. To submit the grant for legal review the Grant Specialist must forward the email thread to OGC.

2. The OGC grant coordinator will assign the grant to a member of OGC within 1 day of receipt of the new grant in the OGC basket for first legal review.

3. The assigned attorney shall log the grant into the OGC grant log and maintain the grant log entries for this grant throughout the grant review process.

4. The assigned attorney will complete the first legal review and return it to its Grant Specialist within 5 business days from the email of the Grant Specialist. When the grant is ready for a second or subsequent legal review, the Grant Specialist will send an email in the same email thread to the assigned attorney notifying him/her that the file has been returned for a follow up review. The grant specialist will attach the revised documents.

5. The assigned attorney will reply to the email sent by the Grant Specialist, stating that the file has been returned for further review and/or approval. At each step, OGC and Grant Specialist will send an email within the thread notifying of OGC decision, tracking when the packet was submitted and returned, and explaining why an action was completed after the target date.

6. The entire legal review process must be completed within 14 days of the grant being placed in the OGC basket for first legal review.

V.   **After Completion of Phases II & III of Grant Review**

A. The Grant Specialist will sign off and enter the date under the "ICJIA Program Staff Name" in the Budget under the section named "Final Budget Amount Approval."

B. No less than 48 days before Budget Committee, the Grant Specialist must send the NOSA, the Agreement, budget, and for JAG Grants only—an Initial Cash Request form to the grantee for signature. All documents must be signed and returned within 30 days. If the grantee is unable to sign the documents by the due date (for example, because their Board is not meeting before the due date), the grantee must submit a letter requesting a waiver to the Grant Specialist outlining the reasons for the waiver request before the 30 days has come to an end.

C. Upon receipt of the grantee's signed documents, the Grant Specialist will complete a final review of the agreement, required certifications, and attachments.

D. Grant Specialist will submit the Uniform Budget to OFM. OFM will sign the budget under the "ICJIA Fiscal and Administrative Signature" in the Section named "Final Budget Amount Approval" and return the Uniform Budget to the Grant Specialist.

E. Upon approval of the grant designation by the Budget Committee, the Grant Specialist will submit the agreement to OGC for a final review by placing it in the basket, "Grants Ready for Executive Director's signature", and continue the email thread.

F. During final OGC review, OGC will refer to Stop Payment List and check for grantee status before Executive Director's Signature. If the final OGC review occurs prior to Budget Committee, OGC will return the grant to the Grant Specialist to hold at their desk until after Budget Committee. Grant Specialist will notify OGC if anything has changed since the prior review upon returning the file to OGC. OGC will submit it to the Executive Director's office for execution (and log it in a notebook) within three days.

G. After Executive Director's signature: After the Executive Director signs the agreement, the Grant Specialist must do the following:

1. Email the grantee a PDF of the cover letter establishing reporting due dates, the signed agreement, and the data/progress reporting forms and fiscal reporting forms.

2. Provide to OFM:

   a. The "Notice of Fiscal Receipt and Review" sheet along with the completed Fiscal Information Sheet and Audit Information Sheet and a hard copy of the executed agreement (two sided, no staples) for COD development.

   b. Two copies of the approved ICR within seven days.

3. Provide to the Administrative Assistant:

   a. A copy of the Uniform Application for State Grant Assistance.

   b. For VOCA grants, the completed Sub-grant Award Report (VOCA SAR).

4. Initiate Performance Measurement Tool (PMT) reporting for applicable federal grants.

5. Update eGMIS by:

   a. Changing the status of the agreement to OPE (open).

   b. Completing the federal and match award amounts.

   c. Updating the grant start/end dates.

   d. Entering signature date.

   e. Entering the Grant Details tab in Grant Manager

   f. Setting up the Task Manager reports section.

   g. Creating the budget in the eGMIS Fiscal section.

       h.   Update the Grant Audit Page regarding requirement of A-133 report and if applicable, the due date.

       i.   Catchment Survey

6. The Grant Specialist will place the original signed agreement, green agreement checklist, legal review sheet, original ICR, all correspondence and any other original documents in the master file. Refer to Master File policy for more information.

Section 12: Monitoring - Amendment Processing

I.   Policy Statement

Contract law requires that all amendments to agreements must be executed before the expiration of the existing, current agreement. In order to ensure that this requirement can be met, ICJIA staff and grantees will work within the following established timelines to the maximum extent possible:

A. Grantee requests to amend an existing agreement must be received by ICJIA at least 90 days prior to the expiration date of that agreement's period of performance.

B. If the request for an amendment is approved, staff will send an amendment to the grantee at least 45 days before the expiration of the current period of performance.

C. The signed amendment must be returned to ICJIA no later than seven days prior to the expiration of the current period of performance.

D. The amendment must be fully executed by the end date of the agreement's current period of performance.

II.   Procedure

A. Determining if an Amendment is Needed or Allowable: Once the Grant Specialist has received a letter from a grantee requesting an amendment or it has been determined that ICJIA needs to modify the original agreement, then the Grant Specialist should proceed as follows:

1. If initiated by grantee, review the letter sent by the grantee to determine the following:

    a. Request must be submitted within 45 days of the expiration of the current agreement.

    b. Whether the request is reasonable.

    c. Whether the requested changes are allowable under the program's and funding source's requirements and guidelines.

    d. Whether budget revisions are necessary. If so, grantee must include a revised budget detail and budget narrative.

        i.   A budget revision is necessary when the grantee is moving money across budget categories or there is an extension of time.

        ii. If a revision is necessary, follow the budget revision review steps under the Budget Revision Policy.

2. If the need for the amendment is on ICJIA's behalf, then the grantee should be given written notification of the need for an Amendment.

B. Preparing the Amendment: Any section or multiple sections of the agreement may be changed depending on what the grantee is requesting.

1. Amendment templates can be found on the P drive in the Amendment Materials folder (P:\FORMS\Monitoring\Amendment materials).

2. Amendments do not differ from fund to fund.

3. To create an amendment, the Grant Specialist should follow the following procedure:

   a. Open the amendment template and fill in the appropriate amendment number, agreement number, agreement sections to be revised, implementing agency name, and program name.

   b. Cut and paste the appropriate section or sections from the original agreement (or previous amendment) into the amendment. Names, titles, etc. of officials from the implementing agency should be verified prior to being pasted from the original agreement into the amendment.

   c. Revise the pasted sections according to the amendment request (for example, a no-cost extension would require a revision of the end date in the Period of Performance Section).

   d. The Transparency Act compliance section should be amended on every amendment no matter what else is changing.

   e. If the amended period of performance is going to be longer than two years, then the Grant Specialist should use the Grant Fund Recovery Act Compliant Payment Section from the Amendment Materials folder.

   f. Changes to standard conditions should be incorporated into any new Amendment. The Grant Specialist should check the Amendment Materials folder for a file that is called Standard Conditions updated on XX-XX-XX, and if the grant being amended was originally signed prior to that date then those standard conditions should be incorporated into the new amendment.

C. Pre-signature Reviews:

1. The Grant Specialist should use the Amendment Checklist to track the progress of an amendment.

2. Fiscal review is only necessary when the Amendment makes changes to the Budget. In these instances, provide the following documentation for fiscal review:

   a. A fiscal review sheet.

   b. A copy of the amendment including the letter requesting the extension and the revised budget.

   c. Copies of the original agreement with current approved budget and any previous amendments.

3. Legal review of amendments is always required. The following items must be submitted to legal for review:

   a. A legal review sheet.

   b. A copy of the amendment including all of its attachments (letters, amendment, budget).

c. Copies of the original agreement with current approved budget and any previous amendments.

D. <u>Amendment is Ready for Grantee Signatures:</u> Once legal, and fiscal, if applicable, approval is received, the amendment and its attachments shall be sent to the grantee for signature, along with a cover letter detailing the changes. If the dollar amount of the interagency agreement is being increased, check to see if another set of certification forms needs to be signed (new certifications are needed if the amended federal award is now over $500,000).

E. <u>Final Review and Director's Signature:</u> The amendment with grantee signatures along with the legal review sheet and original agreement (and any previous amendments) shall be submitted for final review and the Executive Director's signature.

F. <u>Final Processing:</u> Once the executed amendment has been signed by all the parties, the following must be done:

1. Send a copy of the executed amendment to grantee with cover letter.

2. Submit a copy of the executed amendment to fiscal with a fiscal review sheet for COD revision. Indicate on the fiscal sheet what is needed (for example, "COD needs to be increased" or "COD needs to be extended"). Make a copy of the executed amendment for the Grant Specialist's working file.

3. Update information in the Grants Manager section of eGMIS and the Work Manager section of eGMIS, if applicable.

4. Update subgrant award report (SAR) information, if applicable, and submitted to FSGU Administrative Assistant.

5. Update entries on Performance Measurement Tools, if applicable.

6. Ensure that all originals are filed under the appropriate tab in the Master File.

Section 12B: Monitoring – Budget Revisions

I.   Policy Statement

Grantee requests for a budget revision must be made using the approved budget request form and received by ICJIA at least 60 days prior to the expiration date of that agreement's period of performance. Exceptions to this policy may only be made by the Program Administrator or the Associate Director.

Once the Grant Specialist has received a request for a budget revision, the grantee will be sent a Budget Revision Request Form and Instructions. The grantee is to submit the completed Budget Revision Request Form and a marked up copy of the original budget (in Excel and highlighting the changes) and a revised budget narrative (highlighting changes). Once these documents are received, the Grant Specialist should proceed as follows:

II.   Procedure

A. Review the Budget Revision Request Form sent by grantee to determine:

1. If the request was submitted within the required timeline.

2. If the budget changes are necessary.

3. How the available funds will be used.

4. How the requested revisions will enhance the program.

5. If the request is reasonable for the program.

   a. For example, if grant funds only pay for 2 positions, a request for conference travel for 5 people is unreasonable, while a request to send 2 people attending the conference is reasonable.

6. If the changes are allowable under the guidelines of the federal grant that the program is funded with.

7. If the costs are reasonable.

8. If the cost involves an increase in an annual salary. If so, is this a cost the grantee can maintain after the current period of performance? Is the proposed new salary justified by the market rate for such a position?

9. If the purchase of items seems reasonable given the remaining life of the grant.

   a. For example, if the period of performance is for 12 months and the grantee is requesting the purchase of equipment in the 11th month, such a request might be considered unreasonable with only one month of the fund life remaining.

B. Review the Budget Detail to ensure:

1. That the marked up budget accurately reflects increases and decreases in the appropriate line items explained in the Budget Revision Request Form.

        a. For example, if a grantee experiences a personnel shortage and makes a request to use the funds to purchase computers for the remaining grant-funded staff, check to see that the budget detail reflects a reduction in the personnel line item and an increase for the purchase of computers in the equipment line.

2. That the calculations and the breakout of costs are accurate.

        a. For example, if the requested revisions involve funds for travel to a conference, the grantee needs to provide the breakout of costs for items such as lodging, per diem, airfare, etc. in accordance with the state approved rates.

3. That, given the intended changes, the match dollars shown are sufficient to meet the federal requirements.

4. The budget is signed by both the Implementing Agency and Program Agency (if there is a program agency).

C. Review the Budget Narrative to ensure:

1. That all items that are requested in the revision are reflected in the budget narrative.

2. That all items that were removed from the budget are removed from the narrative or reduced to reflect the requested revisions.

        a. For example, if the original narrative reflects the purchase of 3,000 brochures at a cost of $.50 each, and the requested revision is for 2,000 brochures at a cost of $.25 each, the budget narrative should reflect the revised amount of 2,000 brochures at a cost of $.25 each.

3. That the grantee has provided a justification for the purchase of the new items, just as they would need to do with a new agreement.

4. That the revised budget narrative includes all budget categories as outlined in the original budget, not just the requested revisions.

D. Review all the materials submitted by the grantee to ensure that the requested revision is ready for processing. The Grant Specialist will proceed in one of three ways:

1. Request additional information from the grantee, if necessary. After the information is received, the Grant Specialist should then forward the request to the Program Administrator for review.

2. After discussion with the Program Administrator, the Grant Specialist may deny the request and send a letter to the grantee explaining that the request has been denied.

3. Request is approved by the Grant Specialist.

E. Once the revision is approved by the Grant Specialist, he/she will prepare a new budget in Excel, with the revised figures. The Grant Specialist shall ensure that the revised budget includes the new date at the bottom of the budget pages. The materials are then forwarded to the respective Program Administrator for review. The materials to be submitted to the Program Administrator include:

1. The Budget Revision Request Form from the grantee requesting the revision.

2. A copy of the marked-up budget and budget narrative.

3. A signed final copy of the revised budget and budget narrative.

F. Once the Program Administrator has reviewed the materials, the Grant Specialist will proceed in one of the following ways:

1. If the revision is approved:

   a. The Grant Specialist sends a letter to the grantee indicating the approval along with a hard copy of the final revised budget and narrative.

   b. The Grant Specialist places the revision material in the masterfile; the revised budget in the Agreement section, the budget revision request form in In-house tab, and a copy of the approval letter in the Correspondence section.

   c. The Grant Specialist updates the expenditure section of eGMIS to include the revised budget figures.

2. If additional information is required:

   a. If the Program Administrator requests additional information, the Grant Specialist will contact the grantee to obtain the information. The Grant Specialist will then resubmit the revision to the Program Administrator for approval.

   b. If approval is granted, the Grant Specialist proceeds as noted above in item number 1.

3. If the Program Administrator requests fiscal review of the Budget Revision:

   a. The Fiscal review of budget revisions is only necessary upon Program Administrator's request or for a budget revision as part of an amendment for an increase or decrease dollar amount.

   b. The Grant Specialist will submit the documentation to the Fiscal Unit along with a - fiscal review sheet.

   c. Once reviewed and approved, the Grant Specialist will then resubmit the revision to the Program Administrator for approval.

   d. If approval is granted, the Grant Specialist proceeds as noted above in item number 1.

4. If the revision is denied:

   a. If the Program Administrator denies the request for revision, the Grant Specialist sends a letter to the grantee notifying them that their request was denied and indicates why.

   b. A copy of denial letter is filed in the Correspondence section of the Masterfile.

   c. The Budget Revision Request Form is filed in In-house section of the Masterfile.

Section 12C: Monitoring – Fiscal Reports & Disbursements

I.   Reporting Templates and Instructions:

Upon execution of a new grant agreement, the grant specialist will send an email to the grantee containing a reporting schedule, report templates with corresponding instructions, and detailed instructions on how to submit the reports.

The grant specialist is responsible for preparing the fiscal report template. If there's an amendment to extend the grant, those additional reporting periods must be included.

All grantees are required to report to ICJIA on either a monthly or quarterly basis. The FSGU Associate Director shall determine the appropriate reporting period for each grantee, taking into account, among other factors, the grantee's need for payments, ICJIA's capacity to process the reports for payment, any applicable federal requirements, and any grant-specific requirements. That determination shall be made within two weeks of the grantee receiving its NOSA. The decision shall be communicated via email to both the Grant Monitor and OGC to ensure that it is properly reflected in the grant materials and communicated to the grantee during the pre-award phase.

A report must be filed for each quarter/month of the program from commencement date through program end date, including any extension to the grant, even if there are no expenditures during the quarter/month. Fiscal reports are due 15 days after the end of the quarter/month being reported. Please note that under the terms of the Grant Funds Recovery Act (30 ILCS 705/4.1), "Grantor agencies may withhold or suspend the distribution of grant funds for failure to file requirement reports." If the report is more than 30 calendar days delinquent, without any approved written explanation by the grantee, the entity will be placed on the Illinois Stop Payment List:

https://www.illinois.gov/sites/GATA/Pages/ResourceLibrary.aspx.)

II.   Review of Fiscal Information

A. The Grant Specialist should fill in the blank spaces on the fiscal report with the relevant grant agreement information.

B. The Grant Specialist will email the excel file of the fiscal report to the grantee.

C. The Grant Specialist must ensure that fiscal reports are received electronically by the due date as a scanned PDF of the fiscal excel file signed and dated.

D. The Grant Specialist shall enter the date the report was received in the Fiscal Report tab of the eGMIS Work Management section.

E. The Grant Specialist will thoroughly review the information submitted by the grantee. At minimum, the following must be verified:

1. Is the grantee using the correct report template?

2. Is the report template complete and accurate?

3. Is the grantee's GATA information accurately detailed on the fiscal report?

4. Do the budget amounts in each category match what was entered into eGMIS?

5. Are the reported expenses consistent with the Program Budget?

6. Are the reported expenses consistent with the grant activities?

7. Are the reported expenses on target to be expended by the end of the grant period?

8. If the reported expenses vary at all from the Program Budget, are the expenses that are reflected both 1) included in the Program Budget and 2) reasonable and allowable in light of the deviations from the Program Budget?

9. Have two separate individuals signed the "Prepared by" and "Approved by" Certification?

F. If the fiscal report information is incorrect, incomplete, unreasonable, or contradicts the approved budget, the Grant Specialist shall contact the grantee to address the issues. The Grant Specialist may request revision of the report and its resubmission within a brief timeline.

G. Once it has been determined that the fiscal information is accurate, The Grant Specialist shall enter the expenditures into the Fiscal Management section of eGMIS.

H. Grant Specialist shall submit all fiscal reports to the Program Administrator within five working days of the due date. Grant Specialist shall advise the Program Administrators of delinquent fiscal reports that have not been received by the 20th day after the end of the quarter/month being reported.

I. The grant specialist shall save the email in an electronic folder.

J. Once the completed electronic fiscal report is saved, the Grant Specialist shall print a copy of the fiscal report, initial and date it with the date received, and then place it in the corresponding Master File.

III. __Program Administrator Approval and Disbursals__

A. It is the responsibility of the Grant Specialist to process all requests for funds from the grantee. The Grant Specialist bases decisions on whether or not to voucher funds on the amount of money the grantee has expended compared to the approved Program Budget. The Grant Specialist will review the periodic financial report form to ensure that the expenses and funds received have been accurately reported, and that the form is otherwise complete and consistent with the approved Program Budget.

B. For *JAG Grants only*, the Grant Specialist must base the decision to process request for funds on the following additional criteria:

1. Does the grantee have a Trust Fund established? (JAG only)

   a. If no, then only expended funds for the reporting period should be disbursed.

   b. If yes:

     a. Has the grantee submitted a request for a disbursal based on projected expenses during the next reporting period?

        i. If no, the Grant Specialist shall only approve the release of funds that is equal to the amount of the Cumulative Expenses to Date, less the Total Dollars Received to Date.

        ii. If yes, is the disbursal equal to projected expenses, less any cash on hand?

C. If no funds are to be vouchered to the grantee, the Grant Specialist should write zero in the recommended disbursal line, sign, forward the report to his or her supervisor for approval, and then file the hard copy in the corresponding grant master file.

D. It is the responsibility of the Program Administrator to review fiscal reports within 10 working business days and approve or return the reports with questions or issues to the Grant Specialist.

E. If the Grant Specialist decides to voucher funds to a grantee, the following is required:

1. Documentation of expenses. Fiscal reports are the only acceptable form of documentation.

2. Voucher log:

    a. The voucher log is used to track the progress of voucher requests. The voucher log shall contain the request date, the agreement number, grantee name, and dollar amount, and indicate if the funds are federal or general revenue. Multiple voucher requests can go on one voucher log.

    b. It is the responsibility of the FSGU Supervisor to instruct staff on how to prepare individual voucher logs, and on where to electronically file this information. Grant Specialists are responsible for maintaining accurate voucher logs. The voucher log is not required to be submitted to OFM with the vouchers but should be saved by the Grant Specialist for future reference.

F. The procedure for processing a voucher is as follows:

1. Once the Grant Specialist receives the approved document from the Program Administrator, the Grant Specialist shall prepare a voucher log detailing the request(s).

2. Two copies of the approved documentation of expenses The Office of Fiscal Management shall update FSGU staff with any changes to the procedure for submitting their requests. Original approved documentation shall be placed in the corresponding grant Master File in the Fiscal tab.

Section 12D: Monitoring – Data Reports

I.   Definitions

A. Goal: A program goal is the end to be achieved through the funded project. A goal is the change sought through project implementation, and describes the overall purpose of the program.

B. Objective: Objectives are the benchmarks used to measure program implementation and impact. Objectives are always measurable and directly related to a program goal.

1. Process objectives measure steps toward program implementation. An example of a process objective would be:

   a. Hire three specialized prosecutors by October 15, 2016.

   b. Train these specialized prosecutors by November 15, 2016.

2. Outcome objectives measure program impact. An example of an outcome objective would be to achieve and maintain a 95% conviction rate for accepted cases by September 30, 2017.

C. Performance Measure/ Performance Indicator: metrics or data elements that count progress toward program objectives or standards. For example:

1. Number of prosecutors hired by October 15, 2012.

2. Number of prosecutors trained by April 15, 2013.

3. Percent conviction rate (convictions/cases accepted).

D. Implementation Schedule: A planning tool, used to measure the program's progress and spells out each major step to be undertaken in implementing a specific program.

II.   Procedure for Data Report Development

A. It is the responsibility of the Program Manager to ensure a data report that meets the needs of the program is developed. The report should be developed, taking into account the electronic format type, design, information needed to satisfy funder reporting requirements, and additional information that ICJIA would want to collect to help meet the mission of ICJIA.

B. The Program Manager may appoint a designee to create the report. If the designee is a part of R&A, the program manager will need to get approval from the Associate Director of R&A.

C. The Program Manager or designee may consult with R&A to provide assistance in developing the report.

D. The Program Manager or designee should allow the maximum time for the report to be developed before the program begins.

E. The report shall, at a minimum, have the grantee specific information: Name of Grantee, Grant #, Name of Program, Fiscal Year, Performance Period, Name and Email Address of Preparer, and Date Submitted.

F. The report must also give the grantee the opportunity to provide progress towards their goals and objectives, as established in the program narrative.

G. When possible, the data report should be in Excel format so that figures can be automatically calculated to determine if the objectives are being met.

H. Upon execution of a grant agreement, the FSGU Grant Specialist will inform the grantee in writing of the reporting requirements, providing both the report template and the schedule of report submission dates for the life of the grant. This schedule will minimally specify the submission of data reports each calendar quarter of the grant period of performance.

III. **Procedure for Data Report Receipt and Review**

A. <u>Data Report Receipt:</u> Data reports shall be submitted electronically based on the terms of the Interagency Agreement.

B. <u>Data Report Review:</u> The Grant Specialist will review the report, minimally reviewing the following points:

1. Grantee is using the correct report template.

2. The report template is complete.

3. The reported grant activity is consistent with program described in the program narrative and is allowable under the guidelines and within the scope of the grant agreement.

4. The data reported is within an expected scope of program activity and any anomaly is noted in the narrative section. For instance, it would appear to be an error if a program with a maximum capacity of 30 probationers reported 50 program participants.

5. Includes completed narrative.

6. The Grant Specialist shall also consider:

   a. The relationship of the data reported to the objectives set out in the agreement gauging the program progress toward these objectives.

   b. Identified barriers and the steps the grantee has taken to address them.

   c. Program successes and other strategies the data may suggest to maximize the effectiveness of the program.

   d. The relationship of the data reported to the expenditures reported in the fiscal report. For example, there may be an error if the data report indicated that a conference was attended, but the fiscal report does not reflect any expenses related to the conference or travel.

C. <u>eGMIS:</u> Upon approval of the data report, the Grant Specialist shall enter the date of initial report receipt on the Data report tab in the eGMIS Work Management section.

D. Follow-Up with the Grantee: If any data report information appears unclear, incomplete, outside the scope of the agreement or if it prompts questions, the Grant Specialist shall contact the grantee to follow-up. The Grant Specialist may request revision of the report and its resubmission within a brief timeline.

E. Federal Data Reporting: Some programs require specific reporting metrics as defined by the funder. The Performance Measurement Took (PMT) is used by Department of Justice to track metrics.

1. The Program Manager is responsible for ensuring that there is a process to evaluate all activities and to ensure that PMT data is entered into the system, whether it's by the grantee or by the grant specialist.

2. The Grant Specialist shall enter the data report Performance Metrics information into the online Performance Measure Tool (PMT) system at https://www.bjaperformancetools.org/.

3. In cases where the grantee has access to the PMT system, the grant specialist must ensure the grantee has entered the data.

4. VOCA and VAWA:

   a. The Program Administrator shall instruct the staff on the proper procedure for labeling (and proper location for saving) data reports that are submitted by the grantee.

   b. In some cases, the Grant Specialist or Program Administrator designee may be responsible for entering data from these data reports into an on-site and/or third-party database. The Program Administrator will provide additional guidance to the Grant Specialist or designee as needed.

F. Masterfile: The Grant Specialist shall file a hard copy of the report in the grant master file. The Grant Specialist shall also ensure that the file is saved to Grant Specialist's electronic file.

Section 12E: Monitoring - Programmatic Site Visits

IV.   Procedure

A. Site Identification: Grant Specialists will develop initial and subsequent site visit schedules, with supervisory approval, based on factors that include, but are not limited to:

1. The following site visit frequency standards, subject to adequate administrative funds and staffing:

    a. Within the first six months of a new program and then, at a minimum, once every 12 months for high-risk grantees and 24 for medium - and low-risk grantees, and when programmatic or compliance issues demonstrate the need for a more immediate visit, unless statutory language differs.

    b. For equipment and/or technology grants, a sample of at least 10 percent of the agreements issued during a state fiscal year shall be visited during the project period of performance. During this visit, the grant specialist will, at a minimum, locate the purchase equipment and review procurement and accounting documents, and discuss the use of the equipment/technology.

    c. Additional site visits may be required as specified in special fund requirements or award special conditions.

2. Immediate compliance and reporting concerns.

3. Specific Conditions

4. Fund-specific requirements and special conditions.

5. Other programmatic site visits. FSGU Supervisors will share upcoming staff site visit schedules at least monthly with to coordinate staff travel for training and efficiency purposes.

B. Site visit planning: To plan a site visit, the Grant Specialist will:

1. Contact the grantee for possible visit dates.

2. Complete a site visit request form which includes a detailed visit agenda, and submit to supervisor and Program Administrator for approval. The duration of site visits will be vary based on the agenda activities, but typically last a minimum of two hours but not longer than one work day.

3. Complete a travel request form and submit to the supervisor for approval. Approved travel request forms must be submitted to the travel coordinator before travel may commence.

4. Prepare and e-mail a site visit confirmation letter and agenda. File letter and agenda in the Master File.

5. Add agenda on FSGU calendar.

6. Communicate with ICJIA Auditor and Research & Analysis (R&A) on any need to collectively address concerns related to the grantee fiscal management or performance

data submittals that should be discussed at the site visit. ICJIA Auditor and R&A staff may want to accompany the Grant Specialist for the site visit.

C. Site visit preparation: Prior to the site visit, the Grant Specialist will thoroughly review the grant master file. Specifically, the Grant Specialist will:

1. Review grant proposal materials, including program narrative, budget and budget narrative, review sheets, subcontracts, certifications, CODs, and vouchers.

2. Review all correspondence.

3. Review data and fiscal reports and identify any missing reports.

4. Review agreement and any special conditions.

5. Identify issues to be addressed prior to or during the site visit.

6. Review internal audit findings (kept in the Office of Fiscal Management) and any memoranda related to the grant.

7. Review the Civil Right Compliance Questionnaire and Compliance Checklist to assess grantee compliance with federal Civil Rights requirements, if applicable.

8. Review GATA Specific Conditions generated from the grantee's ICQ and Programmatic Risk Assessment.

D. Determine whether other ICJIA staff will attend the site visit, due to either programmatic or compliance issue or for training of new FSGU staff member.

E. Examples for items to bring on the site visit:

1. Copies of the agreement and any amendments and subcontracts.

2. Special condition information.

3. eGMIS reports.

4. Copies of data and fiscal reports.

5. Disbursal information.

6. Continuation materials, if applicable.

7. An ICJIA laptop computer (must be requested in advance).

F. Input the following information on the online FSGU calendar:

1. Program Name.

2. Agency(ies) - Include Name of agency, address [Street Number, Street Name, City and Zip Code], and Point of Contact Name and Position Title of the agency representative that will be on hand for the Site Visit.

3. Grant Number.

4. Date and time of visit.

5. Reason for Site Visit.

6. Itinerary.

7. Leave Time from ICJIA Office to Site Visit.

8. Arrival Time at Site Visit.

9. Meeting Time for Site Visit.

10. Lunch Time.

11. Travel Time back to ICJIA Office.

12. Staff Traveling with you.

G. Site Visits:

1. Initial site visits will include, but are not limited to, the following activities:

   a. Ensure that the grantee possesses and understands the contents of the online Federal Financial Guidelines.

   b. Review with grantee of:

      i. Allowable expenditures.

      ii. Procurement and subcontracting requirements.

      iii. Fiscal controls, record keeping, and reporting requirements.

      iv. Program goals, objectives and performance indicators as well as data record keeping and reporting requirements.

      v. Disbursement requests.

      vi. Grantee monitoring of sub-recipients, if applicable.

   c. Determination of whether the program has been implemented in a manner consistent with the approved budget and program design.

   d. Reviewing employee time and/or attendance records.

   e. Noting equipment purchased with grant funds and confirming use by grant- funded staff.

   f. Assuring federal compliance requirements, such as maintaining a drug-free workplace and existence of a policy manual for employees, if applicable.

   g. Touring program areas.

   h. Review GATA Specific Conditions generated from the grantee's ICQ and programmatic risk assessment.

2. Subsequent site visits may include the following:

   a. Any activities or corrective action required since the previous site visit.

   b. Review of program goals and objectives and progress.

   c. Review of data and fiscal reports, including timeliness of submission and spot-checks of data accuracy.

   d. Provision of technical assistance.

   e. Review progress toward meeting special conditions.

    f.   Review program continuation issues, including need for program or budget revisions.

    g.   Review GATA Specific Conditions generated from the grantee's ICQ and programmatic risk assessment.

3. Upon return from site visit: Within 10 working days following the site visit, the Grant Specialist will prepare and submit for program administrator approval, the following:

    a.   Follow-up letter that includes the following:

        i.   Expression of appreciation for accommodating ICJIA staff at visit.

        ii.   Review of issues discussed, identified problems, requested corrective action plans, and corrective action completion dates.

        iii.   Documents or information identified during the site visit that will assist the grantee.

    b.   Site visit report.

    c.   Upon approval of the letter and report, Grant Specialist will send a copy of both documents to the grantee and place a copy in the Masterfile.

V.   <u>Training</u>

Grant Specialist training will occur in three phases:

A. New grant specialists will accompany more experienced specialists on site visits to be observe the way experienced specialists conduct visits. Contingent on available time and travel funds, supervisors should consider having new grant specialists observe site visits conducted by more than one experienced grant specialist.

1. The experienced grant specialist conducting the site visit will provide the new grant specialist with a copy of the grant agreement and any other relevant grant documents to provide the new grant specialist an understanding of the program to be visited.

2. The experienced grant specialist will meet with the new grant specialist in advance of the visit to discuss the program and review the site visit agenda and any issues that need to be addressed during the visit.

3. After the visit, the experienced grant specialist will again meet with the new grant specialist to discuss the visit, review the follow-up letter to the grantee and the site visit report.

4. The supervisor should seek the feedback on the visit from both the new and the experienced grant specialists to determine the number of additional observational visits necessary.

B. At the discretion of the supervisor, the new grant specialist will begin to work with other experienced FSGU staff to prepare for one or more site visits, developing the site visit agenda and logistics. The experienced grant specialist will lead the site visit with input from the new grant specialist.

1. The experienced grant specialist conducting the site visit will provide the new grant specialist with a copy of the grant agreement and any other relevant grant documents to provide the new grant specialist an understanding of the program to be visited.

2. The experienced grant specialist will meet with the new grant specialist in advance of the visit to discuss the program and any issues that need to be addressed during the visit, and to review the site visit agenda and logistics developed by the new grant specialist.

3. After the visit, the experienced grant specialist will again meet with the new grant specialist to discuss the visit, review the follow-up letter to the grantee and the site visit report.

4. The supervisor should seek the feedback on the visit from both the new and the experienced grant specialists to determine the number of additional observational visits necessary.

C. The new grant specialist will prepare and conduct the site visit as the experienced grant specialist observes.

1. The new grant specialist conducting the site visit will provide the experienced grant specialist with a copy of the grant agreement and any other relevant grant documents to provide an understanding of the program to be visited.

2. The experienced grant specialist will meet with the new grant specialist in advance of the visit to discuss the program and any issues that need to be addressed during the visit, and to review the site visit agenda and logistics developed by the new grant specialist.

3. After the visit, the experienced grant specialist will again meet with the new grant specialist to discuss the visit, review the follow-up letter to the grantee and the site visit report written by the new grant specialist.

4. The supervisor should seek the feedback on the visit from both the new and the experienced grant specialist to determine the number of additional joint visits necessary before the grant specialist can conduct site visits independent of other FSGU staff.

Section 12F: Monitoring – Fiscal Auditing

I.   Requirements

A. Per CFR 200, all pass through entities are required to monitor the activities of grantees as necessary to ensure that federal awards are used for the authorized purposes in compliance with laws, regulations, and the provisions of grant agreements.

B. The fiscal auditing function will complement the FSGU site visits which are more programmatic in nature with a more cursory review of fiscal issues. The fiscal audit is more forensic in nature.

II.   Procedure

A. Selection of Grantees: Selection of grantees will be done according to Office of Fiscal Management procedures which is to be determined.

  1. Fiscal Management and FSGU will annually select the grantees that will be audited. Tentatively, the audits will likely be cyclical, every 2-3 years.

  2. Tentatively, only open grants will be audited. This will ensure that any corrective actions can take plan in a timely manner.

B. Scheduling:

  1. The auditor will meet with the grant specialist to discuss any concerns regarding the grantee.

  2. The grant specialist will note any special stipulation in the agreement that the Auditor needs to be made aware of.

  3. Grant specialist will clarify if the grantee has sub granted part of the agreement to a sub grantee.

  4. The grant specialist will send an initial email to grantee program contact to inform them of the pending audit and the purpose.

  5. After initial contact by grant specialist, the grant specialist will schedule a telephone call between grant specialist, grant auditor and grantee program contact and fiscal contact to discuss audit.

  6. Grant auditor will contact grantee fiscal contact to schedule the grantee audit at grantee's location.

  7. Grant auditor will email grantee fiscal contact a confirmation email and attach the following two documents:

     a. Documentation Checklist.

     b. ICJIA's Audit Internal Control Questionnaire.

C. Fiscal Audit Preparation:

1. Auditor will pull the Grantee master file and review the following:

   a. Interagency agreement and budget. Make note of any budget amendments/revisions.

   b. Grantee Fiscal Reports. Make note of any questionable areas.

   c. Invoice Vouchers.

   d. Grant Monitor Site Visit Reports.

   e. Any other pertinent documents.

   f. Any correspondences discussed between ICJIA staff and grantee personnel that may identify any potential or existing issues.

2. Grantee Auditor will meet with Grant Specialist to discuss contents of grant master file documents and to obtain additional information regarding the grantee with respect to:

   a. Grantee Program and Fiscal Administrators and how well the grant is being managed.

   b. Timeliness of Grantee Fiscal reports.

   c. Grant Specialist Site Visit related concerns.

   d. Other concerns that Grant Specialist has about grantee.

   e. Any other pertinent information that will aid the Grantee Auditor.

3. Grantee Auditor will obtain the following grant information from GMIS:

   a. Grant worksheet.

   b. Expenditures.

   c. Obligation and Voucher Details.

   d. Contact List.

4. Travel Logistics: State of Illinois and OAS protocol for scheduling travel will be followed.

D. Fiscal Audit Duration: Fiscal audits can last from a few days to a couple of weeks depending on:

   1. The awarded amount.

   2. The number of grant agreements that will be reviewed.

   3. The number of issues the auditor encounters.

E. On Site Fiscal Audit Procedure:

   1. During the audit, the auditor will complete the "ICJIA Grant Audit Tool" document.

   2. At the conclusion of the audit, the auditor will conduct an exit interview with the grantee representative(s).

F. Follow-Up:

1. Auditor will complete a time summary with hours to date.

2. Auditor will generate a report based on pre-site documentation, documentation received on-site, testing procedures, and audit interview and submit to supervisor for review and approval.

3. Meet with FSGU personnel to discuss results of testing and proposed findings.

4. Send draft report to grantee for review/comments.

5. Schedule exit conference with grantee (if requested).

6. Grantee Auditor Prepare final Grantee Audit report.

7. Final Grantee Audit Reports along with Corrective Action Plan templates is sent to the Grantee by Fiscal and copied to Grant Specialist.

8. Grantees send the completed Corrective Action Plans along with any supporting documentation to the respective Grant Specialists.

9. FSGU Grant Specialists will review Corrective Action Plan and supporting documentation to ensure all audit concerns have been properly addressed and rectified. Grant Specialists will consult with Program Managers during this process.

   a. FSGU Grant Specialists will contact Grantees if Corrective Action Plans and/or supporting documentation are not satisfactory.

   b. Grantee will submit updated Corrective Plan and/or additional documentation to Grant Specialists.

10. Grant Specialists will contact Grantees notifying them of ICJIA's acceptance of the Corrective Action Plans to finalize Fiscal Audit.

G. Grant Audit Implications: Depending on the nature of the Fiscal Audit Findings, the following may take place:

1. Special conditions in future agreements

2. An additional more probing site fiscal audit

3. Grant audits of other ICJIA programs that Grantees may have

Section 12G: Monitoring - Subcontractor Documentation Requirements

I.   Thresholds

If subcontracts are of a certain dollar threshold or above then approval of the following documents must be granted prior to the grantee entering into the subcontract. *FSGU has the authority to request review all subcontracts and documents regardless of threshold.*

A. Addendum to agreement: ICJIA requires that all subcontractors have a DUNS Number and are registered with Sam.Gov. Therefore, an addendum to the agreement must be submitted to ICJIA for all subcontractors regardless of dollar amount. Subcontractors are contracted by the grantee to perform one or more tasks of the grant and are listed in the Contract section of the Budget. This requirement does not apply to subcontractors that are individuals.

B. Subcontracts, Sole Source or Competitive Bid, that are more than $$150,000 in both ICJIA and match funds must be submitted to ICJIA for prior approval. Federal programs must be reviewed and approved by the federal monitor while State programs must be reviewed and approved by OGC. The Grant Specialist has the discretion to request prior approval for any subcontract, however.

C. When contractor rates that are more than $50.00 per hour or $400 per day, the grantee must submit a contractor payment justification to the Grant Specialist and the Program Administrator for approval. If the daily rate is $650 (or more) per day or $81.25 (or more) per hour for State programs, the rate also must reviewed and approved by the Office of General Counsel. If the daily rate is $650 (or more) per day or $81.25 (or more) per hour for federal programs, it must be approved by the federal monitor.

D. Sole source funding requests of more than $25,000 must be submitted to the Grant Specialist and the Program Administrator for approval. If the sole source funding request is more than $150,000, it also must be reviewed and approved by the Office of General Counsel. Sole Source for federally funded grants must be reviewed and approved by the federal program monitor. Sole Source for state funded programs must be reviewed and approved by OGC.

E. Grantees are required to obtain three bids for procurements less than $150,000. Grantees are required to keep documentation on site and shall be produced upon request by the Grant Specialist. Formal procurement documents include RFP, IFB, RFI, or any other related documents.

F. All publications that are paid for with grant dollars and/or describe a grant funded project must be submitted to ICJIA for review and approval by the Grant Specialist, Office of General Counsel, and Office of Public Information.

II.   Requirements for Review

All subcontractors that require federal or OGC review and approval must follow the same terms and conditions as the grantees' interagency agreement. All subcontracts must be

written. Subcontracts shall be submitted to the Legal Counsel that reviewed the original grant materials. All subcontracts submitted for review must have the following:

A. A yellow Notice of Contractor Justification Receipt & Review form.

B. A copy of the interagency agreement, Exhibit A, Exhibit B, including any Budget Revisions, and any Amendments.

C. A completed addendum to the agreement.

D. A completed Contractor Justification Rate form and all required supporting documentation, if applicable.

E. A copy of the subcontractor's Certification of Good Standing, if applicable.

F. A copy of the written contract.

III. Procurements

Grantees shall use the state's procurement rules unless the grantee's procurement process is more restrictive. Procurement documents shall be submitted to the Legal Counsel that reviewed the grant materials. All procurement documents submitted for review must include:

A. A copy of the interagency agreement, Exhibit A, Exhibit B and any budget revisions, and amendments.

B. A copy of the RFP/IFB/RFI or other procurement documentation.

C. Sole source checklist: A sole source checklist is used when contracting for services and should be written by the grantee (not vendor). The justifications must provide enough information that the need for the sole source is amply clear. Sole source checklist should be submitted to the Legal Counsel that reviewed the grant materials. Sole source checklist submitted for review should include:

  1. Use yellow Notice of Contractor Justification Receipt & Review sheet.

  2. Electric or hardcopy of the interagency agreement, Exhibit A, and Exhibit B.

  3. A copy of the sole source/ brand name checklist.

D. Brand name checklist: A brand name checklist is used when purchasing equipment and should be written by the grantee (not vendor). The justifications must strongly illustrate the need for the brand name equipment. The brand name checklist should be submitted to the Legal Counsel that reviewed the grant materials. Brand name checklist submitted for review should include:

  1. Either an electric or hardcopy of the interagency agreement, Exhibit A, and Exhibit B.

  2. A copy of the sole source/ brand name checklist.

IV. Publications

Publications shall be submitted to ICJIA for review. Grantees should allow ICJIA ample time (as indicated in the interagency agreement) for review, comment, and request for corrections and publication by the grantee. Publications shall be submitted to the Legal Counsel that reviewed the grant materials. Publications submitted for review shall include:

A. A purple legal review sheet.

B. An electronic copy of the interagency agreement, Exhibit A and Exhibit B.

C. A copy of the publication.

V.   Required Subcontractor Documentation

The following four documents must be submitted for review and approval for each subcontractor, regardless of their rate of pay. These documents make up the Subcontract Packet. The documents must be reviewed and approved, at a minimum by the grant monitor, prior to the grantee entering into the subcontract. Depending on the rate of pay additional levels of review, by the supervisor &/or Office of General Counsel (OGC), may be required.

A. Subcontract: "Subcontract" means any contract between the Grantee and another party for the performance of any or all services or products. All rules, such as travel rates, indirect costs, and reasonableness of expenses that apply to the grantee must apply to the contractor. This subcontract must be a written and shall include, at a minimum:

   1. Parties: Name of the parties. One party is the entity that is paying for a product or service. The other party is the entity providing the service or product.

   2. Period of Performance: The Period of Performance is the period, start and end date, of time during which the subcontractor is expected to complete the grant activities and to incur and expend approved funds. The period of performance should fall within the period of performance of the grant agreement between ICJIA and the grantee.

   3. Scope of Services: The Scope of services provides detailed information on what services the grantee expects to receive and measurable deliverables. These should be meaningful and included in the sub-contract

   4. Rate of Pay: The price and any details of the payment. The subcontract dollar amount stated should either match the grant agreement budget or state how much of the sub-contract budget is being paid with grant funds. It should contain an hourly or daily rate and/or contain enough information to calculate an hourly rate. It should also include the maximum value of the payment.

   5. Signatures and Date: The contract must be signed by both parties. This indicates that the contractor accepts the payment conditions and agrees to complete the specified work. The sub-contract should be signed only after the approval of all the parts of the sub-contract packet and it is preferable that the sub-contract be dated within the period of performance of the grant agreement, if possible.

B. Addendum to Agreement: ICJIA requires that all subcontractors have a DUNS Number (except for subcontractors who are one individual) and be registered with SAM.GOV. An

addendum to the agreement must be submitted to ICJIA for all subcontractors regardless of dollar amount. Items to look for in the Addendum to the Agreement:

1. All information is correct.

2. Publication Statement must match what is contained in the budget.

3. Make sure the contractor is not barred from receiving state/federal funds.

4. Valid DUNS number.

5. CAGE Code.

6. SAM.gov registration has not expired.

7. Attach the SAM.gov print out.

8. Check the stop payment list.

C. Contractor Payment Justification w/ Compensation & Rate of Pay Certification Form (generally used for individuals, but may also be requested for entities if requested by grant specialist or OGC): Depending on the rate of pay one of the following forms must be submitted.

1. Contractor Payment Form - Over Threshold:

   For rates less than $400 per 8-hour day (or $50.00/hour) AND the contract is under $25,000.

   OR

2. Contractor Payment Form – Under Threshold:

   For rates of $400 per 8-hour day or more (or $50.00/hour) OR the contract is $25,000 or more.

   If applicable, attach the document to Notice of Contractor Payment Justification Receipt and Review sheet.

D. Where applicable, Sole Source Justification (if the contractor was not selected through a competitive bidding process) OR Competitive Bidding (RFP or similar):

A "sole source" procurement can be defined as any contract entered into without a competitive bid process, based on a justification that only one known source exists or that only one single supplier can fulfill the requirements.

Attach the Sole Source Justification Questionnaire to the Notice of Sole Source Justification Receipt and Review Sheet.

OR

If the contractor was chosen via a competitive bidding process, the grantee must submit that document for prior review and/or approval.

Attach the bid document to the Notice of Grant Monitor Legal Review of Subcontracts, RFP and Publication sheet.

HOWEVER

If a competitive bid garners one response, a sole source justification must still be submitted.

VI. <u>Review Threshold</u>

Depending on the rate of pay and/or contract value, the required documents may require an additional level of review from the supervisor &/or OGC.

A. Daily Rate less than $400 (or hourly rate less than $50.00) AND contract value is less than $25,000 – Requires grant specialist review only.

B. Daily Rate of $400-649 (hourly rate of $50.00-$81.24) AND/OR contract value of $25,000 - $100,000 - Requires grant specialist and supervisor review.

C. Daily Rate of $650+ (hourly rate of $81.25+) OR Contract over $100,000 - Requires grant specialist and OGC review.

Section 13: Closeouts

I.   Closeout Checklist

At the commencement of the closeout process, the Grant Specialist shall complete a Closeout Checklist for each grant. This document is to be kept with the grant working file until the grant's closeout.

II.   15-Day Notice

No later than 15 days prior to expiration of an interagency agreement, the Grant Specialist shall send an e-mail letter to the grantee that includes an attached formal letter with instructions for completion and submission of the following closeout documents:

- Property Inventory Report (If no equipment was purchased, the grantee must indicate N/A, sign, and return with closeout packet.)
- Final Fiscal Report (also called Closeout Report)
- Final Progress Report (If applicable, and pertinent to the correct fund)
- Delinquent reports (Past due quarterly fiscal and/or data reports)

III.   45-Day Due Date

Closeout documents are due to the grant specialist no more than 30 days after the expiration of the interagency agreement. Per the Grant Funds Recovery Act, refunds are due no later than 45 days from the expiration of the interagency agreement.

IV.   eGMIS: Grant Status Change #1

Upon expiration of a grant, the Grant Specialist shall change the grant status in the Grant Management section of eGMIS from OPE (open) to INA (inactive).

V.   Receipt of Closeout Documents

Within 10 business days of receipt of the closeout documents the Grant Specialist shall review each form for accuracy and completeness. Any errors or inconsistencies must be addressed with the grantee during this review. Once the review process is complete the Grant Specialist shall update the Closeout Checklist with the date the completed documents were received.

VI.   eGMIS: Progress and Financial Reports

The Grant Specialist shall enter the date that complete and accurate final progress reports, financial status reports, and any delinquent quarterly reports were received into the *Work Management* sections of e-GMIS.

VII. Master File Review

The Grant Specialist shall review the Master File for completeness and to ensure all reports are appropriately filed and submitted to Program Administrator.

VIII. Closeout Packet Review

The Program Administrator, in accordance with Master File procedure, has the discretion to require that the Master File be submitted with the closeout packet review. The Grant Specialist shall assemble a closeout packet for review and approval by the Program Administrator. The closeout packet shall include a copy of the closeout checklist and the closeout documents submitted by the grantee. If applicable, the grant specialist must complete the Budget Committee Designation Revision Form and send it to the Program Manager. The Program Manager is responsible for placing the Designation Revision Form in the electronic folder P: /Budget/Budget Designations needing action.

If the total amount awarded was not spent a revised sub-grant award report must be provided for VOCA. If approved, the Program Administrator shall initial and date the closeout checklist, sign and date the final fiscal report, then return the packet to the Grant Specialist for further processing.

IX. Closeout Approval

Upon receipt of the approved closeout packet from the Program Administrator the Grant Specialist shall inform the grantee of the grant's closeout status. A formal Closeout Approval Letter must be sent to the grantee within 10 business days following the receipt of the approved closeout packet. The letter should:

A. Acknowledge receipt and approval of required reports.

B. Request refund, if applicable. Refunds are due 45 business days from the end of the performance period.

C. Request audit, if applicable.

D. Include court of claims instructions, if applicable.

In the event that expenses were reported after to the end of the state fiscal year, the Grant Specialist shall advise the grantee that the grants funds can no longer be dispersed by the comptroller. The funds must be disbursed by filing a claim with the Illinois Court of Claims. The Grant Specialist shall send the grantee the following, which can be found on the Illinois Secretary of State website:

1. Instruction sheet.

2. Claim form.

3. Copy of the approved financial status report.

X.   eGMIS: Grant Status Change #2

The grant specialist shall ensure that eGMIS accurately reflects the correct status:
- REF (Refund) – The grant has ended, and the grantee owes a refund.
- AUD (Audit) – An audit is needed, and either the refund was returned or no refund was needed.
- CLO (Closed) – No audit is needed, and either the refund was returned or no refund was needed.
- COC (Court of Claims) – A balance is due to the grantee, but is after the end of Lapse Period, therefore requiring payment to be obtained through Court of Claims).

XI.   Audit Requirement

If the Audit Information Sheet submitted by the grantee indicates that an audit is required, the Grant Specialist shall change the grant status in e-GMIS to AUD. All audits submitted by the grantee are to be forwarded to Office of Fiscal Management on the day of its receipt. It is the responsibility of the Office of Fiscal Management to track and review all audits submitted, and to change the status in e-GMIS to CLO once all audits are received and approved. No other action by the Grant Specialist is required after the request for the audit and the e-GMIS change of status to Audit.

XII.   Final Disbursements

The Grant Specialist shall disburse the balance due to the grantee upon receipt of the approved closeout packet from the Program Administrator. The Grant Specialist shall use the final fiscal report as the documentation of expenses required to process a final voucher request. The procedure for processing a final voucher request is as follows:

A. The grant specialist shall prepare a voucher log detailing the request(s).

B. Two copies of the approved final fiscal report shall be forwarded to Office of Fiscal Management. The original approved documentation shall be placed in the corresponding Master File.

XIII.   Refunds

The Grant Specialist shall request a refund if the grantee's Voucher to Date is greater than the Total Program Expenditures. When a refund is received, the Grant Specialist shall:

A. Make three copies of check and any attachments (one for the Master File, two for OFM).

B. Complete the Refund Check Form.

C. Place Refund Check Form, the original check, and two copies of the check in OFM's Refund box.

D. Change status in eGMIS (grant manager) to AUD or CLO depending on the Audit Information Sheet and update Budget Committee Designation Revision Form and email to Program Administrator.

XIV. Filing

The Grant Specialist shall place all documents relating to the closeout of all grants into appropriate Master File.

Section 14: eGMIS

Step-by-step procedures for using ICJIA's enhanced Grants Management Information System (eGMIS) are included in the eGMIS Manual. eGMIS is subject to updates that may not be reflected immediately in the manual.

I.   Training

A. Supervisors must ensure that new employees have immediate access to eGMIS and an Information Systems Unit staff (ISU) contact for technical assistance.

B. Within the first week of employment, the new employee's supervisor/mentor must provide an introduction to eGMIS, including an overview of basic system functionality.

C. Within the first six months of employment, formal hands-on eGMIS instruction must be provided by the Administrative Assistant, who will guide the employee through the eGMIS manual.

II.   Data Quality

A. Because of the large number of staff authorized to enter information into eGMIS, monitors and supervisors shall review the Monitors Report and Lapse Report at least once each month to identify and address any potential issues.

B. eGMIS administrative rights shall be limited to select FSGU and Information Systems Unit staff. The Administrative Assistant will be issued administrative rights. On or about the 20th of each month, the Administrative Assistant will run a query to identify any fiscal or data reports which eGMIS reflects as not yet received. The Administrative Assistant will email the monitor assigned to grants with missing reports asking them to update obtain the missing report and update eGMIS. The Administrative Assistant will copy the monitor's supervisor on this email and any subsequent correspondence regarding the delinquent reports.

Sections 15: Master Files

I.   Procedure

A. Custody: Because these master files are the only complete permanent record of the agreement, when master files are removed from the file cabinet a sign-out card must be filled out indicating date of removal and ICJIA employee initials for each master file removed. This sign-out card shall be placed in the cabinet in the location of the missing master file. (If an external auditor removes out a file, they must use the sign-out card and the name of their ICJIA contact.) The ICJIA employee is responsible for replacing the master file back in the designated master file filling cabinet in numerical order prior to leaving at the end of the work day. A master file shall never been taken off of ICJIA premises.

B. Once a grant has been assigned to a Grant Specialist it is the Grant Specialist's responsibility to create a master file. Blank master files and labels can be obtained from the file cabinet located in the Federal and State Grants Unit area.

C. The Grant Specialist is responsible for filing all documents in the appropriate master file.

II.   Content

Each master file shall be organized as follows:

FLAP 1: Fiscal Information

1. Obligations and vouchers, most current on top.

2. Fiscal Information Sheet and Notice of Fiscal Receipt and Review sheet.

3. If applicable, copy of refund check and refund check form. Copies of all refund checks of unspent funds shall be attached within 45 days from the end of the performance period. This includes refund checks from the grantee to ICJIA, and if there are sub-grantees, refund checks from the sub-grantee to the grantee.

4. Initial cash request, for JAG Grants only.

5. Audit Information Sheet.

FLAP 2: Agreement and Amendments

In chronological order, most recent on top:

1. Agreement, including the Agreement Checklist, Notice of Legal Counsel Receipt and Review sheet, Printout from sam.gov, Secretary of State certification, Illinois State Board of Elections, Illinois Office of Comptroller Vendor Summary Page, Certifications, Application, Interagency Agreement, Budget.

2. Budget revisions.

3. Amendments (including Amendment Checklist, the goldenrod Notice of Legal Counsel Receipt and Review sheet and any attachments to the amendment).

FLAP 3: Fiscal Reports

In chronological order, most recent on top:

1. Final Fiscal Status Report (with Budget Committee Grant Designation Revision form, if applicable). If there are sub-grantees, copies of the Final Fiscal Reports of all sub-grantees shall also be included.

2. Monthly or Quarterly Fiscal Report Forms.

3. If applicable, initial and revised Sub Award Report (SAR).

4. Property Inventory Report.

5. Program Income and Operating Funds Expended Reports.

FLAP 4: Data Reports

In chronological order, most recent on top:

1. Final Progress/Data Reports.

2. Monthly or Quarterly Progress/Data Reports.

FLAP 5: Correspondence

All correspondence, including email correspondence in chronological order (most recent on top).

FLAP 6: Other

Other documentation not included above. This includes, but is not limited to (in chronological order, most recent on top):

1. In-house memos relative to this agreement.

2. Site visit reports.

3. Grant Specialists notes.

4. Closeout checklist.

5. Proposal Comment Cover Sheet, if applicable.

6. Request for Proposals (RFP) drafts and final RFPs, including the Notice of Grant Monitor and Legal Review of Subcontracts, RFP's and Publications sheet(s).

7. Executed Subcontract and associated Addendum to the Agreement, including the Notice of Grant Monitor and Legal Review of Subcontracts, RFP's and Publications sheet.

8. Sole source Checklist, with the Notice of Sole Source Justification Receipt and Review sheet(s) attached.

9. Required Documentation for Contractor Payment.

10. Food and Beverage Request Form.

Section 16: Electronic Files

I.   Policy Statement

It is the policy of the FSGU that all monitors shall keep an electronic folder for each grant under their responsibility. These folders are to be located on the shared FSGU P:Drive, in the FSGU Users folder, under the monitor's name. These electronic folders shall contain all electronic copies of all documents submitted by the grantee including all draft versions as well as all approved documents pertaining to the grant program and the corresponding Interagency Agreement; these include, but are not limited to, copies of all fiscal and data reports, interagency agreements, and copies of all electronic correspondence. Each individual electronic file is to be labeled using the grant number assigned to that particular grant. **Electronic files must not be kept under the individual monitors X:Drive or Desktop. Only the P: Drive in the designated monitor folder is acceptable.**

Electronic correspondence, like all other correspondence, between an ICJIA staff member and an outside agency, must be written in accordance within ICJIA standards, which include in Times New Roman 12-point font on a plain white background. All electronic correspondence with grantees should include formal salutations and be written in a formal style which follows ICJIA guidelines. (Hyperlink to ICJIA style guide here) When saved to the electronic folder each correspondence stream should be labeled with the issue the correspondence pertains to and the final date of correspondence (i.e. Fiscal Report Issue 4-17-11).

II.   Definitions

A. Electronic Correspondence: Any written interagency communication between a monitor and a grantee conveying information pertaining to the grant, such as announcements of proposal and closeout procedures sent to the grantee by the monitor, and requests for additional information, revisions or clarification of material submitted by the grantee.

B. Grant Agreement: A contract with a grantee for a specific project. The contract includes the = following: Exhibit A, Exhibit B, Exhibit C, Exhibit D, Exhibit E, Exhibit F, Exhibit G, Exhibit H, Budget and ICQ.

C. Grant Number: A unique numeric identifier assigned to each grant at the time of designation; example #211001.

D. Interagency Contract (Boiler): This is also known as the boiler. It contains the standard contractual terms of the agreement between ICJIA and the Implementing Agency.

III.   Electronic Files

A. Creation of Electronic Files:

1. At the time of the first correspondence between the monitor and the grantee an electronic file must be created, located on the FSGU P:Drive, under the folder entitled FSGU USERS, subfield under the individual monitor's name.

2. A new file is to be created for each new grant agreement assigned to the monitor and titled with the grant number; for example, #211001. Organization of the individual files at minimum should be divided in the following order Program Agency and Grant Number (see below).
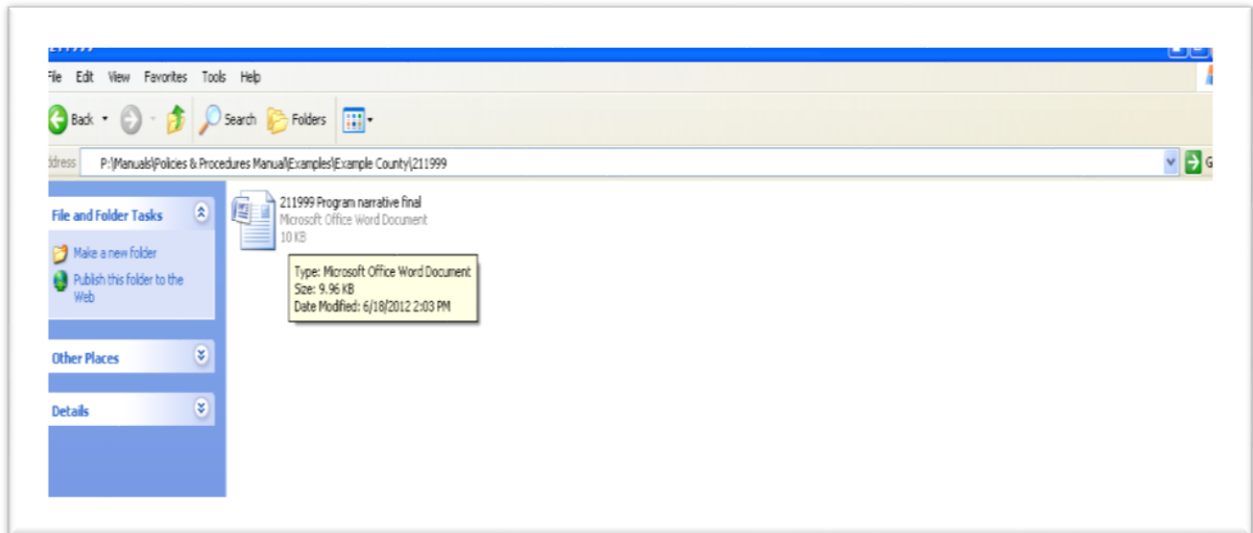
3. All electronic documentation pertaining to that grant number is to be kept in that file including but not limited to, all documents submitted by the grantee including all draft versions (when saving new/updated drafts, save according to the date the changes and/or updated are being made), as well as all approved documents pertaining to the grant program, and the corresponding Interagency Agreement; these include, but are not limited to, copies of all fiscal and data reports (filed within subfiles for data reports and subfiles for fiscal reports), agreements, and copies of all electronic correspondence. All electronic correspondence, e-mails, must include the original message text as part of the entire stream of correspondence concerning a particular issue (for assistance in establishing this function for your electronic correspondence in Outlook, please see ISU tech support). Only the final message in the stream concerning that particular issue need be saved into the electronic file under the title of issue concerned and date.

B. Maintenance of Electronic Files:

1. Any requested changes made by OGC review must be made to original boiler contract and saved. Only the most recent copy of the Interagency Contract (Boiler) is to be maintained in the electronic file.

2. All final approved versions of the interagency agreement material, Exhibit's A, B, C, D, E, F, G, H, the Budget =, should be labeled with "Final".

3. All final revised versions of the interagency agreement material, Exhibit's A, B, C, D, E, F, G, H, the Budget =, should be labeled with "Revised", and include the date

approved. All other versions should be labeled with "Draft" and include the date submitted by the grantee.

4. All electronic files are to be kept for three years after the end of the program performance period.

Section 17: Mentoring

I. <u>Policy Statement</u>

It is the policy of FSGU to provide each new employee with a mentoring program that offers the support and guidance needed to maximize his or her professional development. Inherent in this policy is the shared responsibility of the employee and his/her assigned mentor to establish the communication necessary to foster this development, under the guidance of the employee's direct supervisor. The new employee's training and evaluation are the responsibility of the supervisor. A mentor is a second source for guidance and information for a new employee. While FSGU's basic training series can plant the seeds of knowledge, mentoring and supervision are required to nurture staff development and bring mastery of the training content to fruition. Also inherent in these procedures is the need for adhering to standards created across operational teams and funds to implement unit-wide training and processes. Mentoring and training of staff must be an ongoing activity and priority at all staff levels.

II. <u>Procedure</u>

The procedures outlined below are based on a three-step learning and mentoring process: Tell, Show, and Do. In this process, the mentor describes a particular skill or procedure to the mentee, demonstrates the skill, observes as the mentee performs the skill or procedure, and then provides feedback, as needed.

A. Mentoring Assignment:

1. The new employee's supervisor should attempt to make mentor assignments that will best foster the mentor/mentee teaching relationship by connecting new staff members with more established peers with complementary skills, teaching/learning styles and expertise. The assignment is made after discussion with the mentor to determine the mentor's workload and availability.

2. Reassignments of mentors and mentees are made the discretion of the supervisor.

B. Preparation:

The first step in the mentoring process is development of a mentoring plan that includes discussion with the supervisor, new employee, and mentor outlining the employee's responsibilities and guiding mentors as they set out to help the employee execute those responsibilities.

1. It is the supervisor's responsibility to secure a mentor for each new employee. Mentors are knowledgeable staff members who have already mastered the grant concepts new staff will be required to learn. Supervisors do not typically become mentors due to the amount of time necessary to fully execute mentoring responsibilities.

2. Once a mentor has been assigned, the supervisor and mentor should prepare a mentoring plan for the new employee. This meeting should include, at minimum:

   a. A review of the new staff member's relevant background and experience.

b. A discussion of which grants will be assigned to the new staff member.

c. Development of a six-month plan that sets benchmarks for skill development, accompaniment at site visits and meetings, and other tasks and issues that may require mentor guidance.

3. On the new employee's first day of employment, the supervisor is responsible for ensuring that the following materials are available to the new employee:

a. A computer with eGMIS access.

b. Basic tools including, but not limited to, employee badge, office supplies, phone, a computer folder on the P:Drive for assigned grants.

c. A manual of employee trainings and FSGU policy and procedures.

C. Basic Training:

1. During the first few days of a new staff member's employment, it is the supervisor's responsibility to provide him/her with basic orientation on ICJIA, FSGU, grants administered by ICJIA, and the new employee's position. In addition, the supervisor should provide a basic logistical orientation that includes, but is not limited to, a tour of the office and basic introductions, as well as instruction on basic tools such as the agency calendar, mail, copiers and masterfiles. It is the mentor's duty to reinforce this basic orientation.

2. Training shall be provided on an ongoing basis.

3. Within the first week of employment, the supervisor, mentor, and employee should meet to review previously established benchmarks, develop a mentoring and work plan for the next several weeks, and schedule regular meetings to occur for the first two months of employment (or longer, as needed).

D. Ongoing Support:

1. It is the mentor's responsibility to be available to the employee for weekly meetings and to respond to questions and concerns on an as-needed basis.

2. It is the employee's responsibility to seek instruction and guidance as needed. In the circumstance when neither the supervisor nor the mentor is available to the employee, other staff members who act as mentors may be available to provide instruction and guidance. However, upon the return of the supervisor or mentor, it is the employee's responsibility to update them on the instruction obtained during their absence.

3. Mentors must assist the employee with anticipation of and planning for future tasks and activities, assisting the employee in meeting set benchmarks, and planning for site visits. In addition, the mentor is responsible for explaining some of the more large-scale ICJIA processes, such as the federal award process between ICJIA and the federal government and the fund designation process between ICJIA and grantees.

4. At the weekly meetings, the new employee should be ready to review the status of assigned grants with the mentor.

5. The mentoring process is vital to supporting and reinforcing training. It is the responsibility of the mentors to review training materials with the employee within three days post-training and to work with the employee to complete any post-training worksheets and other required materials to be submitted the employee's supervisor.

6. Mentors must bring their mentees along on several site visits and accompany mentees on their own initial site visits. Supervisors are responsible for identifying other learning opportunities for the employee, including arranging for the employee to accompany other staff members on site visits and to meetings.

E. Mentor/Supervisor Relationship:

1. While mentors may review work done by new employees, mentors do not have approval authority. Such approval is the responsibility of the supervisors.

2. It is the supervisor's responsibility to seek information on a regular basis from the mentors on new employees so that he/she may assess the new employee's progress on their benchmarks. This assessment will determine the need for additional instruction, or whether assignment of additional grants is appropriate.

Section 18: Glossary

Agreement: A contract with a grantee for a specific project. The Uniform Interagency Agreement or the Uniform Grant Agreement will be used depending on what type of entity.

Application: A request for federal funding for a particular program and federal fiscal year.

ICJIA's Program Funding Chart: ICJIA's Program Funding Chart is maintained by the Award Specialist and shows each active federal grant award, the amount of the award and when the award is set to expire. The chart also provides a breakout of the funding designated for grants administration and any earned interest.

Benchmarks: A series of goals and objectives, with a six-month timeline, for basic grant monitoring skill development by which the staff member's performance is measured.

Boiler: This refers to either the Uniform Grant Agreement or Interagency Grant Agreement.

Budget: The budget is an accurate and detailed description of programmatic expenditures over a specified time period presented by line item and summarized in totality. The narrative included within the budget is an explanation in detail of how the budget calculations have been arrived at and generally describe the purpose of each line item cost.

Budget Revision: A budget revision is a change in any line item of a previously approved budget. Budget revisions must be used to add new items or adjust for existing line item variations of ten percent (10%) or more, within the approved designation. Grantees must request a budget revision used the approved form, and are only allowed to change their budget upon written approval of their ICJIA grant specialist.

Catalogue of State Financial Assistance: A Catalog State Financial Assistance (CSFA) number is assigned to each state and federal grant available in Illinois.

Certificate of Good Standing: Is a certification issued by the Secretary of State for the state in which the entity was incorporated.

Cognizant Agency: The agency designated by GATA to negotiate or approve the ICQ specific conditions.

Continuation Grant: Continuous funding for a previously funded program without break.

Discretionary Awards: Discretionary awards are awards that ICJIA competes for against other states, local governments, and private non-profits. The award amount will depend on minimum and maximum amounts allowed.

EEOP: An Equal Employment Opportunity (EEO) plan is a comprehensive document that identifies possible barriers to the participation of women and minorities in all levels of the recipient's workforce. Its purpose is to ensure the opportunity for full and equal participation of men and women in the workplace, regardless of race, color, or national origin.

eGMIS: eGMIS is a web-based electronic database that monitors grant processing activities from designation to closure and reconciliation for grants using federal, state, or other funding sources.

Electronic Correspondence: Any written interagency communication between a grant specialist and a grantee conveying information pertaining to the grant, such as announcements of proposal and closeout procedures sent to the grantee by the specialist, and requests for additional information, revisions or clarification of material submitted by the grantee, including email, sam.gov, Secretary of State Certification, and other miscellaneous website printouts.

Evidence-Based Practices/Programs: A program and/or practice that has demonstrated effectiveness by causal evidence, generally obtained through high quality outcome evaluations by an independent researcher. This causal evidence depends on the use of scientific methods to rule out, to the extent possible, alternative explanations for documented change. The program or practice must be identified through rigorous evaluation that is objective, replicable, and generalizable. It is ideal for evaluations to employ a randomized controlled trials (RCTs) design; however, when RCTs are not available, rigorous and sophisticated quasi-experimental research evaluations can be used.

Federal Award: Federal grant funding for a particular program and federal fiscal year.

Fiscal and Administrative Risk Assessment (ICQ): Web-based tool to determine an entity's potential risk based on quality of systems, ability to meet standards, financial stability, and history of performance.

Fiscal Agent: A type of Lead Agency that is responsible for performing various financial duties on behalf of the program agency. These typically include, but may not be limited to: receiving funds, processing invoices, and submitting fiscal reports.

Fiscal Controls: Fiscal controls are the fund accounting procedures necessary to ensure proper disbursal of and accounting for grant funds. This includes grantee procedures for monitoring the funds to ensure compliance with Illinois Office of Management and Budget cost and accounting standards.

Formula Grant Awards: Formula grants are awarded by the federal government based on a statutory formula. The award is guaranteed to the state upon successful completion of the application and the award is based on a formula established by federal statute.

Grant Accountability and Transparency Unit (GATU): Pursuant to GATA legislation, GATU was established in the Governor's Office of Management and Budget. GATU is charged with implementation of the Act in coordination with State grant-making agencies and grantees

GAN: A Grant Adjustment Notice (GAN) is an ICJIA- or grantor-initiated request or notice to change or modify the award.

GATA Portal: Is the web site developed by the State of Illinois Governor's Office of Management and Budget (GOMB) that serves as the central repository of grant awards and grantee information from all of the State of Illinois grant-making agencies.

GMS: The online federal Grants Management System (GMS) through which applications, reports, and modifications to awards are submitted and managed.

Grantee Links: GATU webpage provided for prospective grantees.

Grants Funds Recovery Act: The Grant Funds Recovery Act requires that refunds from grantees are returned within 45 days of the end of the grant.

Grants.gov: A federal grants website through which applications for federal awards are submitted.

Grant Solicitation: The formal announcement that contains federal application guidelines.

Grant Specialist: ICJIA staff member located in the Federal and State Grants Unit who is responsible for initiating, monitoring, and closing out grants.

Initial Cash Request Form: Form filled and out submitted by a JAG grantee to request advance payment.

Internal Control Questionnaire (ICQ): Also known as the Fiscal and Administrative Risk Assessment, the ICQ is an automated questionnaire and pre-award requirement accessed by grantees on the GATA website.

LRU: The Legislative Research Unit (LRU) is the Illinois General Assembly research agency responsible for tracking and maintaining information on federal grant opportunities and aid received by the state.

LRU-192: A standard form required by the Legislative Research Unit for use as a cover sheet for submission of pre-applications, applications, and related information.

Master File: Grant file that contains the all the legal documents of a particular grant. The master file also contains related documents, such as contract obligation documents (CODs) and vouchers, fiscal and data reports, and correspondence pertaining to the program.

Mentors: knowledgeable staff members who have already mastered the grant concepts new staff will be required to learn.

Mentoring: Mentoring is defined as ongoing guidance, individual instruction, and ongoing technical assistance provided to staff by staff, as needed. It must include, but is not limited to, reinforcing training sessions provided, meaningful and effective responses to employee requests for technical assistance, and assisting employees with preparation for and accompanying employees on site visits. Mentors and supervisors are responsible for working in a coordinated effort to foster employee progress and ensure training needs are met.

Needs Based Designation: To officially fund a program without utilizing a competitive process. The justifications must provide enough information to show why a particular program, jurisdiction, or grantee for which are chosen, is fully clear.

NOSA: The Notice of State Award (NOSA) is a summary document that specifies usual administrative requirements and "special / general" terms and conditions for the funding opportunity.

Notice of Funding Opportunity: Required public notice for all competitive and non-competitive grant funding opportunities.

Planning & Administration Folder: The Planning and Administration folder is located on the FSGU drive. The Award Specialist shall save grant reporting documents to this folder.

PMT: The Performance Measurement Tool (PMT) is used to identify, collect, and report performance measurement data on activities funded by a particular award.

Program Agency: The organization by which the Implementing Agency has contracted with to facilitate the grant funded programs or provide services as detailed with the Implementing

Agency executed agreement with ICJIA. The program agency may be a subdivision of the implementing agency or a separate entity.

Program Manager: ICJIA Staff member who has overall responsibility for a program fund.

Program Narrative: Includes the project description, deliverables, performance measures and performance standards Uniform Application for State Grant Assistance (UASGA): is a document issued by Grant Accountability and Transparency Unit (GATU) that must be submitted by all applicants.

Program: A program is a grant-funded activity or event planned to address an identified issue. Programs are typically ongoing activities that may be supported through more than one interagency agreement.

Programmatic Risk Assessment Tool: An Excel file which is completed by each grantee to assess the program-level administrative risk and which indicates special conditions to be incorporated into grant agreements to address identified risk.

Promising Practices**:** Those programs or practices that have some scientific research demonstrating positive outcomes, but do not have enough evidence to support generalizable, replicable, or objective conclusions. Additional research is necessary to identify practice/program effectiveness.

Recipient: "Recipient" means a non-federal entity that receives an award directly from an awarding agency to carry out an activity under a program. "Recipient" does not include sub-recipients.

Registration and Pre-Qualification: GATU pre-award requirement.

Remote Site Visit: Site visits that are conducted electronically or telephonically, which may be used at the Program Administrator's discretion for grantees who have not had any reporting issues, are operating an established program, and are low-risk.

Request for Application: An RFA is a competitively based solicitation of application(s) for funding. The RFA lays out the required elements for proposals to be considered and details the objective standards to be used in application scoring. Selection of applications for funding is made based on these scores, and include detailed plans for program design, implementation and cost.

Quarterly Reporting: Quarterly reporting is scheduled based on calendar year. Reporting quarters are January to March, April to June, July to September, and October to December. A reporting quarter may contain fewer than three months when grant start or end dates fall in the middle of a calendar quarter. For example, if a program's grant period begins February 1, the reporting period would consist of February and March for that quarter.

SF-424: A standard form required by the Department of Justice for use as a cover sheet for submission of pre-applications, applications, and related information.

Site Visit: Site visits are made by a Grant Specialist to a grantee's location(s) to engage in one or more of the following activities: Compliance review, including review of grantee's corrective actions based on the GATA Specific Conditions and review the grantee's Programmatic Risk Assessment where applicable; Meetings with program staff; Tours of program areas and/or

observation of program activities; Program equipment reconciliation; Documentation review and auditing; Provision of technical assistance; and Program development.

Special Conditions: These terms and conditions of the federal award may include additional requirements covering areas such as programmatic and financial reporting, prohibited uses of Federal funds, consultant rates, changes in key personnel, and proper disposition of program income.

SPOC: The Single Point of Contact (SPOC) is an agency contact at the state's Legislative Research Unit to whom copies of all federal applications must be submitted.

Sub-Recipient: A non-ICJIA grantee that receives a sub-grant (or sub-award) from a lead agency to carry out part of an ICJIA program, but is not an individual that is a beneficiary of such program. Characteristics that support the classification of the sub-recipient include when the ICJIA grantee: (1) Determines who is eligible to receive what ICJIA assistance; (2) Has its performance measured in relation to whether objectives of the ICJIA program were met; (3) Has responsibility for programmatic decision making; (4) Is responsible for adherence to applicable ICJIA program requirements specified in the ICJIA award; and (5) In accordance with its agreement, uses ICJIA funds to carry out a program for a public purpose specified in authorizing statute, as opposed to providing goods or services for the benefit of the grantee.

Sub-Grant: An award provided by the ICJIA grantee to a sub-grantee to carry out part of an ICJIA award received by the lead agency. It does not include payments to a contractor or payments to an individual that is a beneficiary of an ICJIA. A sub-grant may be provided through any form of legal agreement, including an agreement that the grantee considers a contract. *For additional information, please see 2 CFR 200.51.*

Sub-Grantee: An entity that receives a grant from a Lead Agency to carry out a public purpose authorized by the ICJIA Board of Directors. It does not need substantial involvement by either ICJIA or the Lead Agency for the entity to carry out the activity as described by the Lead Agency's program narrative. A sub-grantee does not provide a piece of property or one specialized service for the Lead Agency's direct benefit or use. A sub-grantee provides an array of services to independently implement a grant-funded program. *For additional information, please see 2 CFR 200.51.*

State Staff Inquiry Screen: GATU web based grants database management system for state staff.

Supervisor: ICJIA staff member who has overall responsibility for approving requests for time off for the Grant Specialist.

Uniform Application for State Grant Assistance: The form that is completed by an applicant in connection with a request for a specific funding opportunity or a request for financial support of a project or activity. The form used by ICJIA was created by the Grant Accountability and Transparency Unit and updated by ICJIA

Voucher: A voucher is the disbursal request required for the comptroller to issue a check or warrant to a grantee.

Voucher Log: A voucher log is an Excel file kept by each individual Grant Specialist on the ICJIA S drive that is record of dispersals made by the Grant Specialist.