

STATE OF NEW JERSEY

FFY 2019

**RESIDENTIAL SUBSTANCE ABUSE
TREATMENT FOR STATE PRISONERS (RSAT)
GRANT PROGRAM**



**PROGRAM ADMINISTRATION
AND FUNDING GUIDELINES**

July 2021

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STATE OF NEW JERSEY
RESIDENTIAL SUBSTANCE ABUSE TREATMENT (RSAT)
GRANT PROGRAM

PROGRAM ADMINISTRATION AND FUNDING GUIDELINES

I. ADMINISTRATION

The United States Congress established the Residential Substance Abuse Treatment (RSAT) grant program under the Violent Crime Control and Law Enforcement Act of 1994, 42 U.S.C. §3796ff et seq. The Bureau of Justice Assistance (BJA), a bureau of the Office of Justice Programs (OJP) within the U.S. Department of Justice, administers the RSAT Formula Grant Program. The Department of Law and Public Safety, through the Office of the Attorney General, administers New Jersey's RSAT Program.

RSAT assists states and local governments with developing and implementing substance abuse treatment programs in state, local, and tribal correctional and detention facilities, as well as creating and maintaining community-based aftercare services for offenders.

The overarching goal of RSAT is to break the cycle of drugs and violence by reducing the demand for illegal drugs, their use, and their trafficking. The RSAT program is designed to accomplish the following objectives:

- 1) increase the number of residential substance abuse treatment programs for incarcerated inmates;
- 2) incorporate reentry planning activities into treatment programs to assist the offender's reintegration into the community; and
- 3) assist offenders and their communities through the reentry process by delivering community-based treatment and other broad-based aftercare services.

For further information about the RSAT program, visit BJA's website at:

https://www.bja.gov/ProgramDetails.aspx?Program_ID=79

II. PROGRAM REQUIREMENTS

RSAT Program grant funds may be used to implement the types of program as defined below:

Residential Programs (State Agencies):

Residential substance abuse treatment programs provide individual and group treatment activities for offenders in residential facilities that are operated by state correctional agencies. These programs must (as required by 42 U.S.C. § 3796ff et seq.):

- Operate for at least 6 and no more than 12 months.
- Provide residential treatment facilities set apart – in a completely separate facility or dedicated housing unit in a facility exclusively for use by RSAT participants – from the general correctional population.
- Focus on the substance abuse problems of the inmate.
- Develop the inmate’s cognitive, behavioral, social, vocational, and other skills to solve the substance abuse and related problems.
- Require urinalysis and/or other proven reliable forms of drug and alcohol testing for program participants, including both periodic and random testing, and for former participants while they remain in the custody of the state or local government.

Jail-Based Programs (Local Agencies):

This program must provide individual and group substance abuse treatment activities for offenders in local and county correctional and detention facilities, and must contain the following elements:

- All program participants must receive a minimum of at least 3 months of substance abuse treatment.
- Every effort must be made to separate the treatment population from the general correctional population.
- Projects must focus on the substance abuse problems of the inmate.
- Projects must be designed to develop the inmate’s cognitive, behavioral, social, vocational, and other skills to solve the substance abuse and related problems.
- Treatment modalities should be based on effective, scientific practices.
- Urinalysis and/or other proven reliable forms of drug and alcohol testing are required for program participants and former participants while in custody.

At least 10 percent of the total state allocation shall be made available to local correctional and detention facilities for either residential substance abuse treatment programs or jail based substance abuse treatment programs that meet the aforementioned criteria.

III. PROGRAM ADMINISTRATION

In New Jersey, the Department of Law and Public Safety, Office of the Attorney General (OAG), administers the RSAT program. OAG staff provides guidance to all

subrecipients awarded funding under the RSAT Program, as well as monitors their performance.

OAG's responsibilities include processing grant applications, review and approval of grant adjustments, grant accounting, review of progress and financial reports, and fund disbursements.

OAG staff is available to offer technical assistance during the implementation of the project. All inquiries concerning the application process, state and federal compliance issues and reporting requirements should be addressed to the OAG staff listed below:

Jessica Guglich at:
GuglichJ@njdcj.org

Recipients of federal grant funds are bound by changes made in federal and state law/policy regardless of inclusion in these guidelines.

IV. APPLICATION REQUIREMENTS

A. SUBMISSION

Applications are due on the date indicated in the Notice of Available Funding published. Applicants must complete and submit an application with all applicable documents and signatures by the submission deadline. Applications must be emailed to the following email address: grants@njoag.gov. **Unless otherwise noted, the head of the Subrecipient state agency, organization, or local unit of government** (State Agency head; Chief Executive, County Executive, County Manager, County Supervisor, or Chief Executive) **should sign these documents**. In order to promote consistency, applicants should use the format outlined in the following pages for the development of the proposal. The program narrative must be double-spaced, using a standard 12-point font (Times New Roman preferred); have no less than 1-inch margins; should not exceed 5 pages; and pages should be numbered. This does not include attachments.

Sections from previous grant narratives may be modified to fit current program requirements when applying for continuation funding. However, the current application must reflect all programmatic changes (e.g., changes to goals and objectives, personnel and/or purchase of services) and must indicate how these changes have affected the project as a whole.

Information contained in grant applications **may not be considered confidential** pursuant to the Open Public Records Act, N.J.S.A. 47:1A-1 et seq. Do not include any information from any source in the grant application that the agency believes should not be made available for public review. Denoting information contained in the application as “confidential” or “not subject to public review” may not, standing alone, exempt the included information from public review.

B. PROPOSAL FORMAT

1. PROBLEM STATEMENT/NEEDS ASSESSMENT (10%)

Provide statistical and factual information to substantiate the need for a substance abuse treatment program. Include the number of offenders identified as needing treatment, existing services or programs, gaps in service, and the capability of the applicant to implement substance abuse treatment programs and services.

2. PROJECT DESCRIPTION, GOALS AND OBJECTIVES (25%)

Describe the proposed project. State the goal of the program, and list clear and measurable objectives to achieve the goal. Describe the implementation process including procedures for substance abuse screening and assessments, selection criteria, number of program participants, service providers, and a description of the type and amount of treatment that will be provided. Explain how each required element of the RSAT Program will be incorporated into the program. Explain how funded programs will address the inclusion of opioid abuse reduction treatment and services.

3. COORDINATION OF SERVICES (10%)

Describe existing services that will be coordinated with the RSAT Project. Include efforts to coordinate correctional treatment with social services and rehabilitation programs to support the aftercare needs of offenders.

4. PROJECT MANAGEMENT STRUCTURE, STAFF AND RESUMES (20%)

The management structure of a project is crucial to the overall success of the project.

Each applicant must designate a Project Director who will be responsible for the overall implementation of the project. Identify the Project Director and other key individuals who will be involved in the project, as well as the chain of command. ****Provide current resumes of persons supported with grant funds.***

Describe the agency's experience operating a substance abuse treatment program or other specialized services.

Provide the following information for each position to be funded through RSAT grant funding: name of the employee (if not yet hired, use TBD); job title; job description; responsibilities; education; experience; and how the person is qualified to manage and implement the project.

Indicate whether the staff is full-time or part-time; annual salary or hourly rate; percentage of time or the number of hours devoted to the project to be paid with grant funds or provided as in-kind.

Indicate whether the agency will use existing staff or will recruit new staff for each position requested in the budget. The applicant must conduct criminal background checks of personnel, if required by law. Attach required State licenses, certifications and permits, if applicable.

Where appropriate, describe the roles of advisory boards and/or other agencies that will be involved in the project.

New Special Condition for FY19 – Employment eligibility verification for hiring under the award

This "Employment Condition" can be found in the grant conditions document provided in your award package and can also be found online at <https://ojp.gov/funding/Explore/LegalOverview2019/MandatoryTermsConditions.htm>.

This condition requires that the recipient, or subrecipient at any tier, "properly verifies the employment eligibility of the individual being hired, consistent with the provisions of 8 U.S.C. 1324(a)(1) and (2)." Employment Condition, para.1(A). The subrecipient is hereby notified of this condition and that, generally speaking, it is "unlawful, in the United States, to hire (or

recruit for employment) certain aliens.” Employment condition, para. 1(B). subrecipients may choose to participate in the “E-Verify” program (www.everify.gov) as long as an authorized representative on behalf of the subrecipient uses E-Verify to confirm employment eligibility for hiring for a person in the United States that is or will be funded with award funds. Employment Condition, para. 4(B). This condition will be included in compliance monitoring. Current eligibility verification documentation must be maintained in the subrecipients grant file, and may be requested by L&PS at any time during the grant performance period for desk reviews and on-site monitoring visits.

New Special Condition for FY19 - Determination of suitability required, in advance, before certain individuals may interact with participating minors

This “Minors Condition” can be found in the grant conditions document provided in your award package and can also be found online at <https://ojp.gov/funding/Explore/Interact-Minors.htm>.

This condition requires a written determination of the suitability of an individual to interact with minors before that individual is permitted to interact with any participating minor in the course of any activity under the award. This requirement applies regardless of an individual’s employment status. Minors Condition, para. 1. The written suitability determination must be based on “current and appropriate information” which is described in paragraph 3(E) of the Minors Condition. The current and appropriate information must be obtained no more than six (6) months before the determination regarding suitability. Minors Condition, para. E.E. Additionally, there are factors and considerations which must be taken into account. Minors Condition, para. 4. Paragraph 2 of the condition outlines when updates and reexaminations must take place. Specifically, it provides that a reexamination of each individual’s suitability determination must take place at least every five (5) years and must “reexamine a covered individual’s suitability determination upon learning of information that reasonably may suggest unsuitability and, if appropriate, modify or withdraw the determination.” Minors Condition, para. 2. Finally, this condition must be included in any subaward, at any tier, and must be monitored for compliance. Current determination of suitability to interact with minors documentation must be maintained in the subrecipients grant file, and may be requested by L&PS at any time during the grant performance period for desk reviews and on-site monitoring visits.

5. DATA COLLECTION/ PERFORMANCE MEASURES/EVALUATION (10%)

Subrecipients will be required to collect and report specific project data. Describe the methods that will be used to collect the data on program services needed for the quarterly performance metrics reports through BJA's Performance Measurement Tool (PMT). Examples of required PMT data include the number of participants who received the following services during a reporting period:

- risk and/or needs assessment
- individualized treatment planning
- substance abuse and treatment services
- cognitive and behavioral services

- employment services
- housing services
- mental health services
- transitional planning services
- substance abuse testing

This section should also indicate how the applicant will assess the overall impact of the project and determine whether the project accomplished its goals. Describe the methods that will be used to gather data in order to measure the achievement of the goals and objectives of the project. PMT data includes additional metrics on the number of participants who successfully completed or did not complete the program. Examples of these PMT metrics include the following:

- successful completions
- successful completions who were released to the community
- terminations for a new charge
- voluntary drop out
- terminations for failure to meet program requirements
- terminations due to violations of institutional rules

To comply with the Government Performance and Results Act, the Federal government requires the gathering and reporting of specific performance measurements for all grants supported with Federal funding. Upon selection of applicant(s) (thereafter a "Subrecipient," "subrecipient" or "recipient"), each Subrecipient will receive a reporting form with a copy of the executed contract/award document.

V. BUDGET (25%) AND FISCAL GUIDELINES

Applicants are required to adhere to the following guidelines when submitting a Budget Detail Worksheet and any subsequent budget modifications.

**Please Note: Items requested in Budget Detail Worksheet must be justified in the budget narrative section of the worksheet, and be consistent with the Project Narrative sections of the application.*

A. ALLOWABLE COSTS

Allowable costs are those charges identified under the grant program's authorizing legislation, regulations and applicable cost principals set forth in **2 C.F.R. Part 200, the Office of Management and Budget's (OMB) Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards, and the U.S. Department of Justice (DOJ Grants Financial Guide)** at <https://ojp.gov/financialguide/doj/index.htm>.

Applicants and Subrecipients must further adhere to the financial, audit, and administrative requirements set forth in 2 C.F.R. Part 200 and the current edition of the DOJ Grants Financial Guide, which includes information on allowable costs, audit requirements, accounting systems, financial records and the administration of grant funds. Costs must be reasonable, allocable, and necessary for the project.

Applicants and Subrecipients are expected to adhere to the current edition of the State Department of Treasury, Office of Management and Budget, State Circulars, as issued and superseded, which are located at the following website: <http://www.state.nj.us/infobank/circular/circindx.htm>.

B. PROHIBITION OF SUPPLANTING

Funds received from the RSAT Program may not be used to deliberately reduce state and/or local funds set aside for the same purpose.

C. UNALLOWABLE COSTS

Examples of unallowable costs include **entertainment, sporting events, fines and penalties, tips, bar and alcoholic beverages and laundry charges.**

All items of cost will be reviewed by OAG to determine eligibility. Allowable costs may be rejected if, in OAG's determination, such costs are deemed excessive or not integral to the success of the project. Also, costs incurred outside the project

period (before or after) are not allowable. For a more information on unallowable costs, refer to the DOJ Grants Financial Guide.

D. BUDGET DETAIL WORKSHEET

1. Budget Detail Worksheet:

Agencies are required to use the Budget Detail Worksheet in the preparation of the budget and budget narrative. All required information (including the budget narrative) must be provided. Any category of expense not applicable to this application's budget may be left blank. Indicate any non-federal(match) amount in the appropriate category.

2. Budget Categories:

PERSONNEL

List each position by title and name of employee, if available. Show the annual salary rate and percentage of time to be devoted to the project. Compensation paid for employees engaged in grant activities must be consistent with that paid for similar work within the applicant organization. Include a description of the responsibilities and duties of each position in relationship to fulfilling the project goals and objectives.

FRINGE BENEFITS

Fringe benefits should be based on actual known costs or the agency's established rate. Include a list of the composition of the fringe benefit package. Fringe benefits are for the personnel listed in the personnel section of the budget and only for the percentage of time devoted to the project. Fringe benefits on overtime hours are limited to FICA, Workman's Compensation and Unemployment Compensation.

If salaries are being reflected in the budget as a cost of the project, and the salaried employees receive fringe benefits, the **corresponding** fringe must also be included, whether being paid for by grant funds or from another source (i.e. match). More specifically, the percentage of each position's salary charged to the grant program, whether through grant or match funds, must have the position's corresponding fringe benefits accounted for by the same percentage as the salary charged to the grant program.

For example, if an applicant requests salary for a Bilingual Counselor and 80% salary will be charged to the grant program, then the applicant must display 80% of the amount of fringe benefits.

- **Bilingual Counselor – \$100,000 salary.**
 - **80% of her time will be spent on the grant, and thus, \$80,000 (80% of her salary) in federal funds is requested for her salary.**
 - **Her fringe rate is 20%, so the overall value of her fringe benefits \$20,000.**
 - **.80 (percentage salary funded under the grant) x 20,000 (fringe amount) = \$16,000**
 - **\$16,000 must be displayed in the budget, under grant funds or match.**

TRAVEL

Itemize travel expenses of staff personnel by purpose (e.g., staff to training, field interviews, advisory group meetings). Describe the purpose of each travel expenditure in reference to the project objectives. Show the basis of computation (e.g., six people to 3-day training at \$X airfare, \$X lodging, \$X subsistence). In training projects, travel and meals for trainees should be listed separately. Show the number of trainees and the unit costs involved. Identify the location of travel, if known; or if unknown, indicate “location to be determined.” Note: Travel expenses for consultants should be included in the “Contractual/Consultant” category.

Travel costs are allowable if permitted under the current State Travel Regulations, 16-11-OMB, located at <http://www.state.nj.us/infobank/circular/circindx.htm>.

Mileage reimbursement cannot be charged in excess of the New Jersey State maximum of \$.35 per mile, State Treasury Circular Letter, Automobile Mileage Reimbursement Rate, 01-02-OMB.

***Please note: All applicants may budget for one person to attend the RSAT national 2-day training. For planning purposes, applicants should assume the meeting will take place in Washington, D.C. Final approval for attendance at the RSAT national training will be determined after awards are made.**

EQUIPMENT

Equipment is defined as non-expendable items purchased at \$1,000 or more each. Expendable items should be included in the “Supplies” category. Applicants should analyze the cost benefits of purchasing versus leasing equipment, especially high cost items and those subject to rapid technological advances. Rented or leased equipment costs should be listed in the

“Contractual” category. Explain how the equipment is necessary for the success of the project, and describe the procurement method to be used.

OAG may approve the purchase of equipment deemed appropriate and essential to the successful operation of projects. Requests for equipment should contain adequate cost specifications, including equipment type, quantity and estimated costs. Specific brand names should be excluded.

Pertaining to requests for acquisition of equipment, the following general cost allowance principles, as detailed in the DOJ Financial Guide, should be followed:

- a. No other equipment owned by the Subrecipient is suitable for the project.
- b. No luxury vehicles will be approved; if the vehicle request is approved, the vehicle should be reasonable, and the recipients must follow the Internal Revenue Service guidelines.
- c. Federal funds are not used to provide reimbursement for the purchase of equipment already owned by the Subrecipient.
- d. Equipment purchased and used commonly for two or more programs should be appropriately divided among each activity.
- e. Equipment that has already been purchased and charged to other activities of the organization is not an allowable expense to the award.

SUPPLIES

List items by type (office supplies, postage, training materials, copying paper, and expendable equipment items costing less than \$1,000 each, such as books, hand held tape recorders) and show the basis for the computation. Generally, supplies include any materials that are expendable or consumed during the course of the project.

CONSULTANTS/CONTRACTS/SUBAWARDS

Contracts/Subawards must comply with 2 CFR 200 and applicable Federal, State, and Local law. Indicate, with justification, whether a purchase of service or supplies constitutes a subaward or procurement contract pursuant to 2 CFR 200 and how the applicant intends to comply with corresponding procurement and/or subaward requirements per Federal law. Indicate whether applicant’s formal, written Procurement Policy or the Federal Acquisition Regulations are followed. Provide a description of the product or service to be procured by contract and estimate of the cost. Applicants must promote free and open competition in awarding contracts/subawards.

Consultant fees: For each consultant enter the name, if known, service to be provided, hourly or daily fee (8-hour day), and estimated time on the project. Consultant fees in excess of \$650 per day or \$81.25 per hour require additional justification and prior approval.

Consultant expenses: List all expenses to be paid from the grant to the individual consultants in addition to their fees (i.e. travel, meals, lodging, etc.). This includes travel expenses for anyone who is not an employee of the applicant such as participants, volunteers, partners, etc.

OTHER COSTS

List items by major type and the basis of the computation. For example, provide the square footage and the cost per square foot for rent or provide a monthly rental cost and how many months to rent. The basis field is a text field to describe the quantity such as square footage, months, etc. Only the cost of facilities used for the project activities are permissible, such as office space, maintenance costs, landlines, and utilities.

INDIRECT COSTS

Indirect costs are allowed if the applicant has a federally approved indirect cost rate. A copy of the rate approval (a fully executed, negotiated agreement) must be attached. If the applicant does not have an approved rate, the applicant may elect to charge a de minimis rate of 10% of modified total direct costs as indicated in 2 CFR Part 200.414f. The applicant may choose not to seek indirect costs.

Additional information about using an Indirect Cost Rate and claiming indirect costs is included in the **Indirect Cost Rate Fact Sheet**.

VI. APPLICATION AUTHORIZATION

The submission of all applications requires the signature of the applicant unit of government's Authorized Representative, Chief Executive Officer, or Agency Head, (Refer to Application Authorization Form) and Project Director. Signatures indicate that the information provided within the application is truthful, accurate, and complete and that the applicant intends to comply with all requirements regarding the use of subaward funds – i.e. use the subaward funds to carry out the project as described in the application. The Project Director and Authorized Representative also acknowledge that they are responsible for authorizing expenditures and disbursing subaward funds.

VII. CIVIL RIGHTS COMPLIANCE

Civil Rights Training: Applicants must adopt procedures to respond to discrimination complaints, including those filed directly with their agency from their employees, clients, customers, and program participants. These procedures shall be in accordance with the Department of Law and Public Safety’s Federal Civil Rights Compliance Policy for Addressing Civil Rights Complaints. The Policy is available via the Internet at <http://www.nj.gov/lps/grants/lps-fed-discim-policy-grants.pdf>.

During the award phase, the applicant agency must certify that an Authorized Official, Project Director, or designee has completed the Department of Law and Public Safety’s “Subrecipient Civil Rights Compliance Training,” available via the Internet at <http://www.nj.gov/lps/grants/lps-subrecipient-civil-rights-compliance.pdf>, and include a copy of the Training’s Certificate of Completion as part of its award package.

Applicants are required to comply with nondiscrimination requirements contained in state and federal laws and regulations. If a court or administrative agency makes a finding of discrimination against a recipient of funds on grounds of race, color, religion, national origin, gender, disability, or age after a due process hearing, the recipient must forward a copy of the finding to the Office of Justice Programs, Office of Civil Rights and OAG.

Applicants are also required to comply with the federal civil rights laws included in Title VI of the Civil Rights Act of 1964 (Title VI) and the Omnibus Crime Control and Safe Streets Act of 1968 (Safe Streets Act), the Victims of Crime Act, and the Juvenile Justice and Delinquency Prevention Act, as amended. These laws prohibit discrimination on the basis of race, color, religion, national origin, and sex in the delivery of services. National origin discrimination includes discrimination on the basis of Limited English Proficiency (LEP). To ensure compliance with Title VI and the Safe Streets Act, applicants are required to take reasonable steps to ensure that LEP persons have meaningful access to their programs. Meaningful access means that recipients of federal funding may have to provide language assistance services, including oral or written translations, when necessary. When conducting federally supported programs and activities, applicants are encouraged to consider the language service needs of LEP persons served or encountered. Additional assistance and information regarding LEP obligations can be found at <http://www.lep.gov>. Applicants cannot retaliate against individuals for taking action or participating in action to secure rights protected by these federal civil rights laws.

Applicants are expected to comply with the provisions of DOJ’s regulations concerning Equal Treatment for Faith-based Organizations, 28 C.F.R. Part 38. Eligible faith-based applicants who apply for subawards of DOJ funding will be treated fairly according to 28 C.F.R. Part 38. Faith-based organizations that receive direct financial assistance from DOJ, or as a Subrecipient from L&PS of OJP funding, may not engage in inherently religious activities, such as worship, religious instruction, or proselytization, as part of the programs or services funded with direct financial assistance from DOJ. Organizations

that participate in programs funded by direct financial assistance from DOJ: (1) cannot discriminate against program beneficiaries on the basis of religion or religious belief in providing services, and (2) cannot compel beneficiaries to participate in inherently religious activities.

The Omnibus Crime Control and Safe Streets Act of 1968, the Victims of Crime Act, the Violence Against Women Act, and the Juvenile Justice and Delinquency Prevention Act contain express nondiscrimination provisions that prohibit all recipients of federal funding from discriminating on the basis of religion in employment. However, DOJ has concluded that a faith-based organization may consider religion when hiring staff if it meets certain criteria and applies for and is granted an exemption. Exemptions are granted on a case-by-case basis. Faith-based organizations seeking this exemption will be required to submit a certification.

<http://www.ojp.usdoj.gov/about/ocr/pdfs/SampleForCompletionByApplicant.pdf>.

Further information is available on the DOJ website at http://www.ojp.gov/about/ocr/employment_practices.htm.

VIII. SYSTEM FOR AWARD MANAGEMENT (SAM) and DATA UNIVERSAL NUMBERING SYSTEM (DUNS)

The Department of Justice, Office of Justice Programs, requires the gathering of information to comply with the Federal Funding Accountability and Transparency Act (FFATA) of 2006. FFATA requires the use of the System for Award Management (SAM) and a Data Universal Numbering System (DUNS) for each entity applying for a Federal award or subaward. Applications without a DUNS number or a current registration in the SAM database are incomplete. **No applicant may receive a subaward unless it has provided a DUNS number.**

The details of Subrecipient recipient obligations are posted on the Office of Justice Programs web site at <http://www.ojp.gov/funding/sam.htm> (Award condition: Registration with the System for Award Management and Universal Identifier Requirements), and are incorporated by reference here.

SAM is the repository for standard information about federal financial assistance applicants, recipients, and sub-recipients. OJP requires that all applicants for federal financial assistance maintain current registrations in the SAM database.

A DUNS number is a unique nine-digit sequence recognized as a unique identifier for tracking Federal assistance applicants, recipients, and subrecipients. A DUNS number

assignment is free, one-time activity, and can be obtained by applying online at <http://fedgov.dnb.com/webform> or calling 1-866-705-5711.

IX. SUBRECIPIENT OFFICIAL FILE

Subrecipients are required to maintain a master file for subaward documents. The following documents must be available for on-site review by OAG:

- A. **Subaward Documents:** Copy of Approved Application, Subaward Contract, Applicant Information Form, Applicant Authorization, EEO Certification, General Conditions, Special Conditions, Budget Detail Form, OAG Project Approved Budget, Award Letter, and copies of all project modification requests, grant adjustments, and related written approvals from OAG.
- B. **Grant Reports and DCSs:** Copies of all detailed cost statements (DCSs), programmatic reports, and annual reports.
- C. **Personnel information:** Copies of all payroll evidence, staff assignment forms, hourly time reports and monthly Time and Activity Reports, and semi-annual certifications, as required.
- D. **Equipment:** Copies of all purchase orders, receiving documents, bid or competitive quote information, paid vouchers, and inventory data.
- E. **Consumable Supplies:** Copies of all purchase orders, receiving documents, invoices, and paid vouchers.
- F. **Supplies and Operating Expenses:** All space contracts and/or certificates, bid information, purchase orders, invoices, and payments.
- G. **Travel:** Copies of all travel authorizations, travel vouchers, and payments; copies of training certificates or other proofs of attendance.
- H. **Banking Information:** Cash verification, receipts documentation, check register, canceled checks, and bank statements.

X. REPORTING PROCEDURES

A. PROGRAMMATIC PROGRESS REPORTS

To comply with the Government Performance and Results Act of 1993 (GPRA), the Federal government also requires the reporting of specific performance measurements for all grants supported with RSAT funding.

Subrecipients are required to submit programmatic progress reports containing these performance measures to OAG describing project activities for the duration of the award period.

Subrecipients must complete the following programmatic progress reports:

1. PERFORMANCE MEASUREMENT TOOL (PMT) REPORTS

The U.S. Department of Justice, Office of Justice Programs, has instituted an online measurement tool for the collection of performance measures from grant recipients via the Performance Measurement Tool (PMT) system.

RSAT Subrecipients will be expected to complete PMT reports within fifteen (15) calendar days after the end of every **quarter**, (January-March) (April-June) (July-September) (October-December). A Final PMT report is due fifteen (15) calendar days after the expiration of the grant term.

The Performance Measurement Tool (PMT) data is on-line at www.bjaperformancetools.org/.

2. SEMI-ANNUAL NARRATIVE PROGRESS REPORTS

Subrecipients will also be required to submit Semi-Annual Narrative Progress Reports summarizing program activities between January 1 to June 30 (**due July 15**) and July 1 to December 31 (**due January 15**). Subrecipients must submit these reports within fifteen (15) calendar days after the end of the six month period. A final narrative progress report is due 15 calendar days after the expiration of the grant term.

Semi-Annual Narrative Progress report forms will be emailed to the Subrecipient(s) for completion and return via email.

B. DETAILED COST STATEMENT

The Subrecipient is required to submit financial expenditure reports or Detailed Cost Statements (DCS) comparing actual expenditures with the OAG Approved Project Budget.

1. Subrecipients are required to submit **quarterly** DCS's. One DCS report including signatures, must be submitted to the OAG within **fifteen (15) calendar days** of the end of each quarter. The DCS for the last quarter shall be marked as final and is due 45 calendar days after the award end date. For each funding request, a separate State of New Jersey Payment Voucher must be submitted.
2. All subaward fund and matching fund expenditures and/or contributions, must

be adequately documented. *See* 2 C.F.R. § 200.403. All subrecipients must provide supporting source documentation (e.g. invoices, hotel receipts, timesheets, payroll records, purchase orders) with their reimbursement requests. Subrecipients should ensure that their costs are allowable, mathematically accurate and correlate to the source documentation provided. OAG Grants Development Section staff will review all Subrecipient source documentation prior to approving reimbursement requests. Costs lacking sufficient support may not be reimbursed.

Subrecipients must keep detailed time reports showing actual time worked on a grant in compliance with 2 C.F.R. 200.430.

Subrecipients must maintain time and activity records that: (1) accurately reflect the work performed, (2) are supported by a system of internal controls which provides reasonable assurance that the charges are accurate, allowable, and properly allocated, (3) are incorporated into the Subrecipient's official records, (4) reasonably reflect the total activity for which the employee is compensated by the subrecipient, and (5) encompass federally funded and all other activities compensated by the subrecipient, regardless of funding source.

To satisfy source documentation requirements for reimbursement requests:

- a. When an employee works solely on one specific grant project, both the *employee and supervisor* can prepare and sign an after-the-fact certification that the employee worked 100% of his or her time on the grant award. This certification must minimally be completed every six months during the grant period.
- b. Where an employee works on *more than one grant project*, project periods, or overlapping periods, salary costs must be based on actual time spent on the grant activity. (Hourly time and effort reporting). The applicant must maintain reports reflecting an after-the-fact distribution of the actual activity of each employee; account for the total activity of each employee; be prepared at least monthly; coincide with one or more pay periods; and be signed by the employee. Because practices vary as to the activity constituting a full workload (for IHEs, IBS), records may reflect categories of activities expressed as a percentage distribution of total activities. These reports should also be reviewed and approved on a regular basis by a supervisory official having first-hand knowledge of the work performed. The supervising official should document the review and approval by signing or initialing each employee's time and/or effort report.

XI. BUDGET REVISION AND MODIFICATION

The grant budget is the approved financial plan to carry out the purpose of the grant. This plan is the financial representation of the project or program as approved during the grant application and award process.

- A. Subrecipients are required to report deviations from the approved budget and receive prior written approvals for budget revisions and modifications in excess of **one (1) percent of the total award amount**. To request a budget revision, Subrecipients are required to submit a written explanation (Justification Letter) and a Grant Adjustment Request Form (GARF). In some cases, a revised Budget Detail Form should be submitted.
- B. Subrecipients will be required to request a budget revision for the following reasons:
 - 1. Changes in the scope, objective, financial assistance, key personnel, timing of the project or program, or deviations from the approved budget.
 - 2. Need to modify the grant period.
- C. Provide financial assistance to a third party by sub-contracting (if authorized by law) or by another means to obtain the services of a third party to perform activities which are central to the purpose of the award.
- D. Adjustments between cost categories and/or shifts of funding to direct cost categories that are not part of the approved budget.
- E. Revisions which involve the transfer of amounts budgeted for indirect costs to absorb increases in direct costs.

XII. SUBRECIPIENT FISCAL RESPONSIBILITY

The Subrecipient must maintain a bookkeeping system, records, and files to account for all grant monies spent and all matching funds contributed to the project. While a preferred system is not specified, Subrecipients are expected to conform to accepted accounting standards.

A. GENERAL FISCAL REQUIREMENTS

- 1. A separate account for the subaward project with separate accountability of receipts, expenditures, and balances for each fiscal budget period.
- 2. Itemization of all supporting records of grant receipts, expenditures and state/local contributions (if applicable) in sufficient detail to show exact nature for each fiscal budget period.
- 3. Provision of data and information for each expenditure and state/local contributions with proper reference to a supporting voucher or bill properly approved.
- 4. Maintenance of payroll authorizations and vouchers.

5. Maintenance of an **hourly** time-reporting system for personnel charged to the grant and state/local contributed services (if applicable).
6. Maintenance of records supporting charges for fringe benefits.
7. Maintenance of inventory records for equipment purchased, rented, and contributed.
8. Maintenance of inventory records for consumable supplies purchased.
9. Provisions for payment by check.
10. Maintain after-the fact timesheets describing work activity, signed by the employee and supervisor, to document personnel hours worked on grant related activities.
11. Prepare bi-annual certifications for employees who worked solely on the grant funded project verifying salary and wage charges to the project, that are signed by the employee and supervisor.

B. AUDIT REQUIREMENTS

Subrecipients must comply with federal audit requirements located at 2 C.F.R. Part 200, Subpart F, Audit Requirements (2 C.F.R. § 200.500, et seq.), the Government Accountability Office's Generally Accepted Government Auditing Standards (also known as the Yellow Book), and the most current edition of the DOJ Financial Guide - Audit Requirements. The Subrecipient must also comply with state audit requirements located in the State Treasury Department, State Circular, Single Audit Policy for Recipients of Federal Grants, State Grants and State Aid, 15-08-OMB.

1. Applicants that expend Federal and/or State financial assistance of \$100,000 or more, but less than \$750,000 of Federal or State financial assistance during their fiscal year (including federal pass-through funds), must have either:
 - a. A financial statement audit performed in accordance with Government Auditing Standards (Yellow Book); or
 - b. A program-specific audit performed in accordance with 2 C.F.R. §200.500 et seq. and State policy.
2. Applicants that expend Federal or State financial assistance, (including federal funds passed through state agencies), of \$750,000 or more during their fiscal year must have:
 - a. A single audit performed annually, or
 - b. A program specific audit performed annually, in accordance with 2 C.F.R. § 200.500, et seq., and state policy.
3. For applicants expending less than \$100,000 of State and/or Federal financial assistance, no audit is required.
 - a. Proof of Submission: The Agency is required to submit its Single Audit to the Federal Audit Clearinghouse (FAC) at the following website:

<https://harvester.census.gov/facweb/default.aswp/>. Do NOT send a copy of the audit to OAG.

XIII. GENERAL AND SPECIAL CONDITIONS

Prior to award, applicants must review, agree to comply, and sign General Conditions and Assurances that are required for Subrecipients. The General Conditions and Assurances are formatted to include four (4) sections including: Federal General Conditions; State General Conditions; Federal Special Conditions; and Program Specific Special Conditions.

Additional conditions may be imposed by OAG for Subrecipients who are deemed “high risk” or who have been “conditionally approved” for subaward.