

OFFICE OF JUSTICE PROGRAMS TECHNICAL ASSISTANCE AND TRAINING PROGRAM

EXECUTIVE SUMMARY

The Office of the Inspector General has completed an audit of the Office of Justice Programs' (OJP's) Technical Assistance and Training Program (TA&T). The TA&T is the product of many OJP bureaus and program offices and includes a wide range of funding sources, types of services, and products. For example, the OJP's Bureau of Justice Assistance (BJA) provides an array of technical assistance and training programs to provide criminal justice practitioners with information on effective programs and practices and to address new criminal justice issues. The mission of the OJP's Office of Juvenile Justice and Delinquency Prevention (OJJDP) is to strengthen the juvenile justice system by providing training, technical assistance, and information on trends, new approaches, and innovative techniques to juvenile courts and court personnel; law enforcement; detention and corrections; youth service providers; and child advocacy organizations. Grantees include universities, non-profit organizations, states, and municipalities.

We reviewed the OJP's administration of \$312.5 million in TA&T grant awards. We audited 21 of the 158 TA&T grants awarded by the OJP between fiscal year (FY) 1995 and FY 2002. These 21 grants totaled \$77.7 million, or 25 percent of the \$312.5 million in total TA&T grant dollars awarded.¹ Our objectives were to: (1) determine if the OJP implemented internal control measures to ensure accurate financial reporting by grantees; and (2) assess the OJP's monitoring and evaluation of grant objectives.

Most TA&T funding is awarded through discretionary grants.² However, the OJP may determine that funding from existing block and formula grants can be used for technical assistance.³ In addition, Congress

¹ The overall TA&T universe is 1,145 grants totaling \$1.4 billion during this time period. However, these figures include grants that have multiple purposes. We limited our audit to grants that were exclusively for TA&T.

² Discretionary grants are awarded on a competitive basis to public and private agencies, private non-profit organizations, and universities.

³ Block grant funding is given to a state, and then allocated to local organizations through sub-grants. Formula grants are awarded to state and local governments based on a pre-determined formula using, for example, a jurisdiction's crime rate, population, or other factors.

may legislate that funds from block and formula grants be set aside for specific TA&T programs.

TA&T grants are designed in accordance with the specific mandates associated with each OJP bureau or program office, and can be customized to meet the specific needs of a state or local community. TA&T grants can also address a broad array of topics, such as providing training and technical assistance to drug courts, paid work and job skills training programs and develop standards and training for School Resource Officers (See Appendices V and VI for examples).

Although many OJP bureaus and program offices awarded TA&T grants, the OJJDP and the BJA awarded 92.5 percent of the total TA&T grant dollars. Therefore, we focused our audit on the grant monitoring efforts of these two bureaus.

Our audit of various headquarters functions at the OJP and audits of 21 individual TA&T grants disclosed the following deficiencies in the OJP's administration of TA&T grants:

- Program and financial monitoring by BJA and OJJDP were not conducted consistently, and there was little coordination between the two areas.
- We identified approximately \$5.2 million in questioned costs and funds that could be put to better use.⁴ In addition, a formal investigation was launched, based on our audit results, to examine one grantee's expenditures and business practices.
- OJP grant managers did not ensure that all required Financial Status Reports and Progress Reports were submitted timely and accurately, and other monitoring and closeout requirements were not being adhered to.
- Communication between grantees and grant managers was not documented in accordance with OJP requirements.

⁴ The Inspector General Act of 1978, as amended, contains our reporting requirements for questioned costs and funds to better use. However, not all findings are dollar-related. See Appendices II, III, and IV for a breakdown of our dollar-related findings and for definitions of questioned costs and fund to better use.

- The OJP did not play a role in developing grantees' performance or outcome measures, nor did it have specific requirements that grantees could follow in developing such measures. As a result, we were unable to assess the impact of the grants to determine whether they were achieving their intended purposes.
- While the OJP has mandated that the Grants Management System (GMS) be used by its various components, several of the modules of the GMS were not fully operational during our audit period. For example, the Financial Status Reports were not required to be filed electronically until April 2004. The enhanced GMS, which will include all modules to manage grants, is scheduled to be fully operational by September 30, 2004.

Based on these findings, we recommend that the OJP ensure that grant managers receive annual training to ensure that they are knowledgeable of OJP's requirements governing the submission of timely and accurate reports, allowable costs, grant monitoring requirements, and grant closeout procedures. We also recommend that the OJP ensure the complete implementation of its automated system for managing grants. In addition, we recommend that the OJP bureaus work with grantees to develop performance or outcome measures to assess the effectiveness of TA&T grants.

The details of our work are discussed in the Findings and Recommendations section of the report. Our audit objectives, scope, and methodology are contained in Appendix I.

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OFFICE OF JUSTICE PROGRAMS TECHNICAL ASSISTANCE AND TRAINING PROGRAM

INTRODUCTION

The Office of the Inspector General (OIG) has completed an audit of the Office of Justice Programs' (OJP's) Technical Assistance and Training Program (TA&T). The objectives of the audit were to: (1) determine if the OJP implemented internal control measures to ensure accurate financial reporting by grantees; and (2) assess the OJP's monitoring and evaluation of grant objectives. Our audit included an audit of various headquarters functions at the OJP, and audits of 21 individual TA&T grants. We issued separate reports on 20 of the 21 grant audits. One grant report has not been issued yet because the grantee is the subject of an ongoing OIG investigation. This report consolidates the principal findings of the 21 grant audits with results of our work at the OJP headquarters.

Background

The OJP manages the Department of Justice's multi-faceted grant program. The OJP reported that since its inception in 1984, it has awarded more than 80,000 grants totaling more than \$39 billion, for a wide variety of programs to prevent and control crime (See Appendix VIII for details). For fiscal year (FY) 2004, the OJP had a budget of \$3.3 billion.

The OJP is led by the Assistant Attorney General (AAG) for Justice Programs, with a senior management team comprised of the Deputy AAG and five bureau heads. The OJP's five bureaus and two program offices are the principal grant-making entities within the OJP. The five bureaus are: (1) the Bureau of Justice Assistance (BJA); (2) the Office of Juvenile Justice and Delinquency Prevention (OJJDP); (3) the Bureau of Justice Statistics (BJS); (4) the National Institute of Justice (NIJ); and (5) the Office for Victims of Crime (OVC). The two program offices include the Office of the Police Corps and Law Enforcement Education and the Community Capacity Development Office.

In addition to the bureaus and program offices, nine other OJP offices provide agency-wide support. They are the Office for Civil Rights; Office of the General Counsel; Office of Communications; Office of the Chief Information Officer; and Office of Management and Administration (OMA). Under the OMA are the Office of Administration, Office of Budget and Management Services, Office of the Comptroller, and the Equal Opportunity Office.

Programs developed and funded by OJP bureaus and offices seek to control drug abuse and trafficking; reduce and prevent crime; rehabilitate neighborhoods; improve the administration of justice; meet the needs of crime victims; and address problems such as gang violence, prison overcrowding, juvenile crime, and white-collar crime.

Generally, the OJP bureaus and program offices award two types of grants - formula grants and discretionary grants. Formula grants are awarded to state and local governments based on a pre-determined formula using, for example, a jurisdiction's crime rate, population, or other such factors. The states are generally required to pass through a significant portion of the formula awards to local agencies and other organizations in the form of sub-grants. Formula grant programs in areas such as drug control, juvenile justice, victims' compensation, and victims' assistance are administered by state agencies designated by each state's governor. Block grant funding is given to a state by the federal government to run programs within defined guidelines. The states generally allocate these funds to local organizations through sub-grants.

Discretionary grants are awarded on a competitive basis to public and private agencies, private non-profit organizations, and universities. However, certain discretionary grants are awarded on a non-competitive basis, as required by congressionally earmarked funding. Discretionary grant funds are announced in the *Federal Register* or through program solicitations on OJP websites. Grant applications are made directly to the OJP's sponsoring bureau or program office. The bureaus and program offices, together with OJP's Office of the Comptroller, are responsible for awarding and monitoring discretionary grants to ensure that they are being implemented as intended, responsive to grant goals and objectives, and compliant with statutory regulations and other policy guidelines.

OJP Reorganization

In 2002, Congress approved a reorganization plan for the OJP. The plan sought to: (a) improve responsiveness, assistance, and accountability to all customers; (b) eliminate duplication and overlap; (c) ensure measurable grant and program outcomes; and (d) enhance communication, cooperation, coordination, and efficiency. The plan had eight objectives:

- The OJP should have a strategic plan that reflects statutory requirements and the mission and goals of the President and the Attorney General.

- The statutes governing the OJP bureaus and program offices should be amended to provide that all authority resides in the Attorney General.
- Management policies and procedures should be standardized throughout the OJP.
- An OJP-wide grants management system should be instituted.
- The OJP should be more responsive to the needs and questions of grantees.
- Centralized communication should be established at the OJP.
- Coordination of legislative, statutory, and regulatory activities and reviews should be improved.
- The OJP should consolidate and coordinate currently overlapping functions.

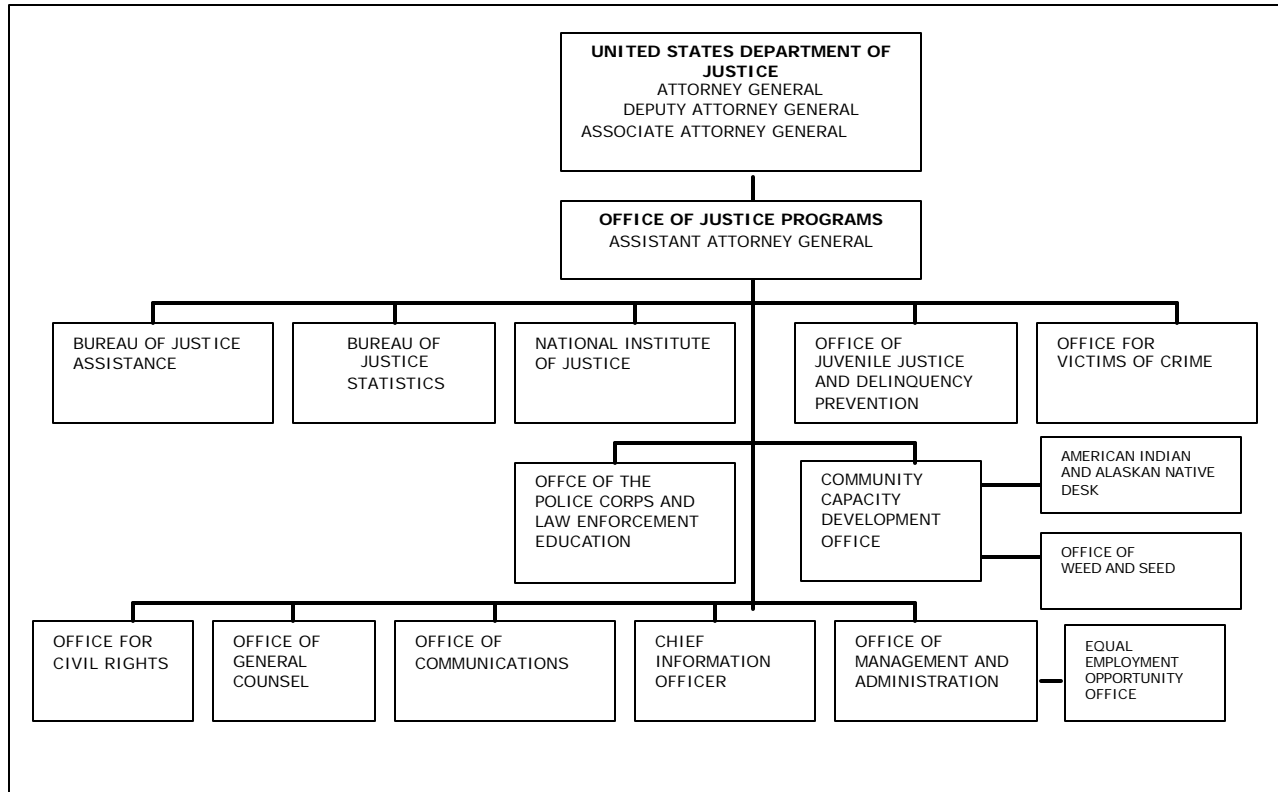
To accomplish the eight objectives, the OJP planned to implement the restructuring in phases. The reorganization left the OJP's five bureaus intact, established two program offices, transferred certain offices within the OJP, combined four support offices into a new Office of Management and Administration, and transferred two offices out of the OJP.⁵

The OJP believes that its new organizational structure, some of which has already been implemented, should improve the efficiency and effectiveness of the grant management program. Specifically, it believes the reduction and realignment of program and support offices should improve communication and cooperation among the OJP components.

⁵ As a result of congressional legislation in 2002, the name of the Violence Against Women Office was changed to the Office on Violence Against Women. The Office now reports to the Attorney General through the Office of the Associate Attorney General. The Office of Domestic Preparedness was transferred to the Department of Homeland Security.

The OJP's current organizational structure is shown on the following chart.⁶

Organization of the Office Of Justice Programs⁷



Source: Office of Justice Programs

The OJP's Technical Assistance and Training Program

One of the OJP's major functions is to "implement national and multi-state programs, provide technical assistance and training, and establish demonstration programs to assist state, local, and tribal governments and community groups in: reducing crime; enforcing state and local drug laws; and improving the function of the criminal justice system."⁸

⁶ For a description of the OJP's bureaus, program offices, and support offices, see Appendix VII.

⁷ Effective March 1, 2003.

⁸ *Department of Justice: Organization, Mission and Functions Manual*, March 2004.

During FY 2003, the OJP awarded \$312.5 million in grants exclusively for TA&T programs.⁹ As of April 28, 2004, the OJP had awarded \$126.9 million in TA&T grants for FY 2004. Funding for such grants generally is awarded through discretionary grants. However, the OJP may determine, under certain conditions, that funding for existing block and formula grants can be used for TA&T programs. Congress also may mandate that funds from block and formula grants be set aside for TA&T programs.

TA&T grants are designed in accordance with the specific mandates associated with each bureau or program office, and can be customized to meet the specific needs of a state or local community. TA&T grants can also address a variety of topics. For example:

- The BJA provides a wide array of training and technical assistance programs to provide criminal justice practitioners with information on effective programs and practices, and to address new criminal justice issues.
- The OJJDP seeks to strengthen the essential components of the juvenile justice system by providing training, technical assistance, and information on trends, new approaches, and innovative techniques to courts; court personnel; law enforcement; detention and corrections; youth service providers; and child advocacy organizations.
- The Office of Weed and Seed¹⁰ provides training and technical assistance to communities in an attempt to strengthen program implementation¹¹ and strategy development, as well as to increase information sharing among the sites nationwide.
- The OVC's training and technical assistance activities are intended to expand and enhance the coordination and delivery of services to crime victims; improve the criminal justice and social services

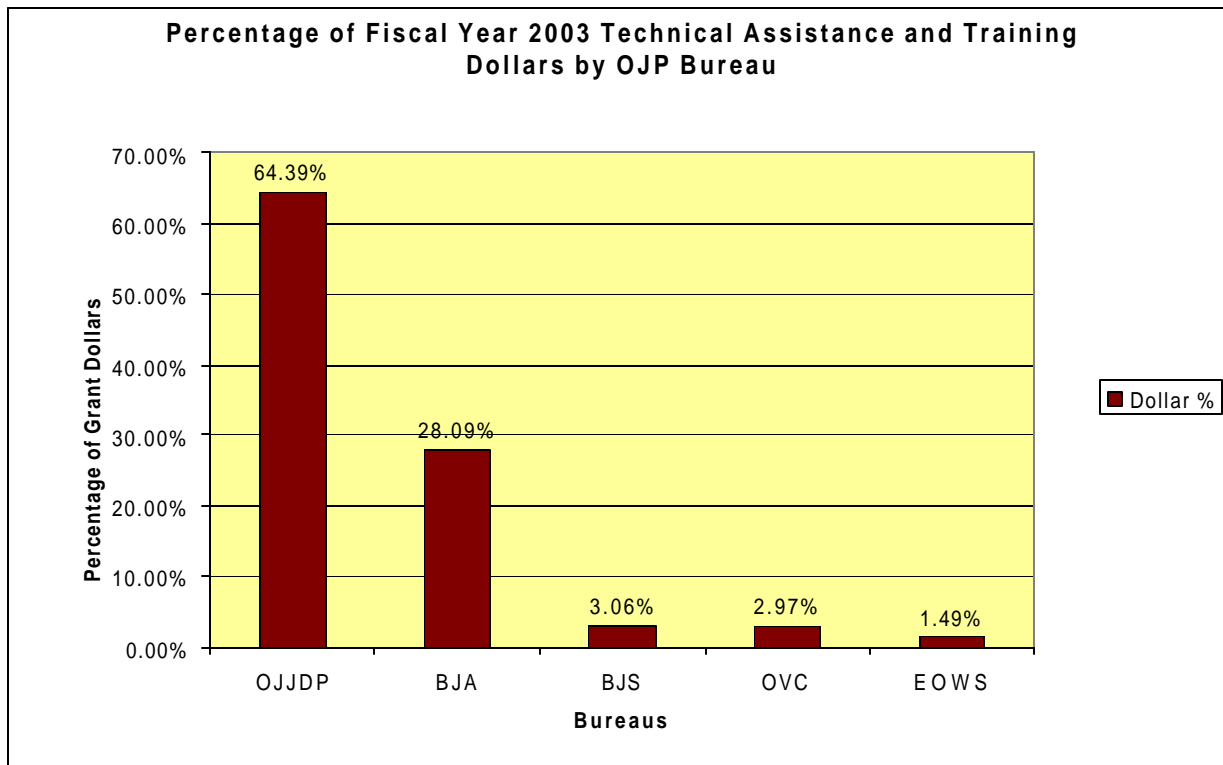
⁹ This represented approximately 22 percent of the \$1.4 billion of all grants that included an aspect of TA&T. While the universe included grants that were awarded for multiple purposes, our audit focused on grants that were awarded solely for TA&T projects.

¹⁰ This office is located within the Community Capacity Development Office.

¹¹ The Weed and Seed Program seeks to prevent and reduce violent crime in targeted neighborhoods. The program proposes to "weed" out crime in these neighborhoods and "seed" them with a variety of programs to prevent crime from recurring.

system response to victims of crime; and support the development and distribution of policies, procedures, and protocols in the treatment and handling of crime victims by Native American tribes, state and local governments, and private non-profit organizations.

Because the OJJDP and the BJA awarded \$289 million, or 92.5 percent of the \$312.5 million in TA&T grants during FY 2003, our audit focused on the administration and evaluation of TA&T grants by those two bureaus.



Source: The Office of Justice Programs' Office of Budget and Management Services

The Office of Juvenile Justice and Delinquency Prevention

The OJJDP supports states, local communities, and tribal jurisdictions in their efforts to develop and implement effective programs for juveniles. According to OJJDP, it also strives to enable the juvenile justice system to better protect public safety, hold offenders accountable, and provide services tailored to the needs of youth and their families.

The OJJDP sponsors numerous research, program, and training initiatives; develops priorities and goals, and sets policies to guide federal juvenile justice issues; disseminates information about juvenile justice

issues; and awards funds to states to support local programming nationwide through its four organizational components. To carry out its mission, the OJJDP:

- Analyzes the training needs of professionals and volunteers working in the juvenile justice system, and develops and implements curriculums to meet these needs;
- Conducts training programs and technical assistance for federal, state, and local governments; private agencies; professionals; volunteers; and others who serve the juvenile justice system, including law enforcement, the judiciary, corrections, education, and community organizations; and
- Provides needs assessments for community planning concerning gang and drug problems in order to develop effective intervention strategies.

The Bureau of Justice Assistance

The BJA's mission is to provide leadership and assistance in support of local criminal justice strategies to achieve safe communities. According to BJA, its overall goals are to: (1) reduce and prevent crime, violence, and drug abuse; and (2) improve the functioning of the criminal justice system. To achieve these goals, BJA programs emphasize enhanced coordination and cooperation of federal, state, and local efforts. The BJA's objectives in support of these goals are to:

- Encourage the development and implementation of comprehensive strategies to reduce and prevent crime and violence;
- Encourage the active participation of community organizations and citizens in efforts to prevent crime, drug abuse, and violence;
- Provide technical assistance and training in support of efforts to prevent crime, drug abuse, and violence at the national, state, and local levels;
- Reduce the availability of illegal weapons and develop strategies to address violence in our communities;
- Enhance the capacity of law enforcement agencies to reduce crime;

- Improve the effectiveness and efficiency of all aspects of the adjudication process, including indigent defense services;
- Assist states in freeing prison space for serious and violent offenders through the design and implementation of effective correctional options for non-violent offenders;
- Enhance the ability of criminal justice agencies to access and use new information technologies; and
- Encourage and support evaluation of the effectiveness of funded programs and dissemination of program results.

The BJA has three primary components: Policy, Programs, and Planning. The Policy Office provides national leadership in criminal justice policy, training, and technical assistance to further the administration of justice. It also acts as a liaison to national organizations that partner with the BJA to set policy and help disseminate information on best and promising practices. The Programs Office coordinates and administers all state and local grant programs and acts as the BJA's direct line of communication to states, territories, and tribal governments by providing assistance and coordinating resources. The Planning Office coordinates the planning, communications, and budget formulation and execution; provides overall BJA-wide coordination; and supports streamlining efforts.

Grant Monitoring

The OJP's Office of the Comptroller (OC) and program managers in each of the five bureaus have grant-monitoring responsibilities. The three general categories of monitoring activities are:¹²

Performance. This type of monitoring addresses the content and substance of the program. It is a qualitative review to determine grant performance, innovation, and contributions to the field. It assesses whether grant activities are consistent with the implementation plan, responsive to grant goals and objectives, and compliant with statutory regulations and other policy guidelines. Performance monitoring also involves assessing technical assistance needs and observing implementation of projects.

¹² See Appendix XII for additional details on grant-monitoring activities.

Compliance. This type of monitoring is coordinated between grant managers and the OC and involves administrative monitoring activities such as addressing compliance with the grant terms and conditions, reporting requirements, and completeness of documentation in the official grant file.

Financial. This type of monitoring is conducted by the OC but also involves coordination with the grant managers. It ensures compliance with financial guidelines and general accounting practices, and provides technical assistance to grantees on financial issues. The fiscal management of grant expenditures is reviewed as well.

Prior Reviews

Two prior reports by the Government Accountability Office (GAO) reviewed the OJP's grant-monitoring activities:

- *Grants Management: Despite Efforts to Improve Weed and Seed Program Management, Challenges Remain*, GAO-04-245, March 2004.
- *Juvenile Justice: Better Documentation of Discretionary Grant Monitoring is Needed*, GAO-02-65, October 2001.

Although these reports were specific to bureaus within the OJP, they contained findings similar to those of our audit, such as:

- Monitoring activities are insufficiently performed by grant managers;
- Management cannot rely on supervisory oversight of grant managers to ensure that monitoring is being performed as required; the requirements as stated in the staff performance work plans are too general to provide a means for assessing the monitoring activities of the grant managers;
- Some grant files did not contain the required closeout materials;
- Outcome performance measures had not been developed to track progress toward accomplishment of program goals.

FINDINGS AND RECOMMENDATIONS

1. GRANT MONITORING

Our audits of 21 TA&T grants disclosed weaknesses in the OJP's monitoring efforts. Grantees were reimbursed for unallowable and unsupported costs. OJP grant managers did not ensure that all required Financial Status Reports and Progress Reports were submitted timely and other monitoring and closeout requirements were not observed. In total, we identified approximately \$5.2 million in questioned costs and funds that could be put to better use of the nearly \$78 million in grants examined.¹³ We attribute these weaknesses to: (1) the lack of training for OJP grant managers in the areas of timely and accurate report submission, allowable costs, grant monitoring and grant closeout procedures, and (2) the OJP's automated system for grant management not functioning at full capacity. In addition, a criminal investigation was initiated by the OIG, based on our audit results, to examine the expenditures and business practices of one grantee.

The OJP has awarded some grants strictly for TA&T purposes and others that combined TA&T with other objectives. Our audits examined only grants that were exclusively for TA&T; the universe of such grants included 158 grants totaling \$312.5 million. Because the BJA and the OJJDP awarded 92.5 percent of the total amount, or \$289 million, we concentrated our audit on grants awarded by those two bureaus.

We judgmentally selected 21 grants for audit, totaling \$77.7 million or 25 percent of the universe of funding.¹⁴ Our audit sample included 10 BJA grants totaling \$28.1 million and 11 OJJDP grants totaling \$49.6 million with grant award dates ranging from FY 1995 to FY 2002. We examined the monitoring efforts of the OJP and the affected bureaus and concluded that, for all of the grants in our sample, those monitoring efforts were deficient.

¹³ See Appendices II, III, and IV for a breakdown of our dollar-related findings and for definitions of questioned costs and funds to better use.

¹⁴ Our criteria for selection were: (a) the grant was awarded solely for the purpose of providing TA&T; (b) the awarding bureau was either the BJA or the OJJDP; (c) the grant amount was over \$1 million; (d) the sample represented a range of grant periods; and (e) geographic distribution.

The OJP's Monitoring of 21 Selected Grants

Grant monitoring is an essential management tool to ensure that grantees are properly expending funds and that the objectives of the grant program are being implemented. Based on the results of our 21 grant audits, we concluded that weaknesses in the OJP's monitoring had permitted a wide range of discrepancies to occur among grantees. In fact, for the 21 grants that we audited, grant manager performed site visits for only 8 grantees.

One weakness was the lack of documentation of monitoring. We reviewed the program manager's grant files for each of the 21 grants that were audited. The grant files generally contained monitoring plans but the grant managers did not consistently follow OJP requirements and document their monitoring efforts. For the closed grants in our sample, one did not contain documentation showing compliance with closeout procedures.¹⁵ According to the *OJP Grant Managers Manual*, the grant managers are to notify the grantee of closeout procedures 30 to 60 days before the end of the grant. However, the grant files that we reviewed did not contain any evidence that this requirement was fulfilled.

According to the *OJP Grant Managers Manual*, the bureau or program office and the Office of the Comptroller (OC) should coordinate activities throughout the monitoring process by preparing an annual monitoring plan, scheduling site visits, and conducting "team monitoring" or joint site visits. However, when we reviewed both the OC's grant files and the grant managers' files, we found little evidence that such coordination actually occurs. In addition, our interviews with the grant managers disclosed that except for the notification letter they receive when the OC schedules a site visit for financial monitoring, there is very little coordination between the program offices and the OC.

Despite the lack of evidence that grant managers were complying fully with the established monitoring plans, we did find that some grant monitoring occurred. For example, the files contained evidence that communication occurred between grantees and grant managers in the form

¹⁵ Closeout of a grant is a process by which the OJP determines that the grantee and the OJP have completed all applicable administrative actions and all required work on the project. Upon expiration of a grant, the OJP grant manager and the OC are responsible for timely and proper closing of the grant. The grantee whose files did not contain documentation of compliance with closeout procedures is the Search Group, Inc. The files for three additional grantees did not contain closeout documentation but the grantees were subsequently awarded grant extensions.

of reports, faxes and letters, and oral and e-mail communications on specific issues and problems or requests for information. However, much of the communication between grantees and grant managers was not documented in accordance with OJP requirements.

The potential adverse effects of the weaknesses in the OJP's monitoring and oversight of grantees are demonstrated in one particular audit. We found that the grantee's management of grant funds was inadequate, the grantee maintained poor accounting records, and the grantee generally failed to exercise oversight over the sub-grantees. In addition, the grantee appeared to lack the requisite knowledge to administer the grant and to train other organizations as required by the terms of the grant. Examples of findings from this grant audit include:¹⁶

- The grantee conducted prohibited lobbying activities using grant funds.
- One of the grantee's selection factors for sub-grantees was the connection between the sub-grantees and members of Congress, even though the sub-grants were supposed to be awarded competitively.
- The grantee billed the OJP for salary costs never paid to employees.
- Although the grantee budgeted for travel and staff expenses for site visits to its 36 sub-grantees, it did not adequately perform this task. We found that 67 percent of the site visits conducted were made to 6 sub-grantees in the grantee's local area and 6 other sub-grantees were never visited.
- The grantee charged unallowable costs to the grant, such as hotel in-room movie rentals, taxi cabs to restaurants, excessive telephone usage (\$500 over a 2-day period), and, in one case, the replacement cost for a lost cell phone owned by the daughter of the project director.
- The grantee charged social gatherings such as a Christmas party to the grant, and labeled a sunset cruise on a yacht as a training

¹⁶ The results of our audit of this BJA grant caused us to question the entire grant (\$3,162,580 over the life of the grant, April 6, 2000, through December 31, 2003), prompted an investigation by the OIG Investigations Division, and resulted in a suspension of grant funding by the OJP.

meeting for reimbursement purposes; in addition, alcohol was served at both the Christmas party and on the cruise.

- The grantee failed to properly monitor sub-grantees, maintain appropriate documentation, and take action to recover funds when sub-grantees failed to perform.
- The grantee's files were in complete disarray.

In our opinion, this grantee exhibited significant internal control weaknesses and poor fiscal management, and did not effectively or adequately manage the grant. We discussed this grantee with BJA officials and learned that they had not conducted a site visit during at least the past ten years, nor had the OC conducted a financial review of the grantee during the same period. Further, the BJA officials stated that they assumed the grantee was knowledgeable of grant requirements because, "they have been receiving grants for a long time."

In addition to the preceding grantee's poor grant management and oversight efforts, we found that BJA had a general lack of awareness related to the actions of other sub-grantees.

- In one instance, after we learned that a significant number of supporting documents were missing for a sub-grantee, we found that the executive director of that organization had recently been terminated for malfeasance, including destruction or removal of accounting and administrative records. While the grantee was aware of the termination, it did not take action to obtain supporting documentation for the sub-grantee's expenditures. The grantee was aware of problems surrounding this particular sub-grantee, but failed to provide adequate oversight.
- In another instance involving alleged embezzlement by a sub-grantee, BJA failed to follow-up to determine whether grant funds were at risk after it was notified of the alleged embezzlement.

Results of the 21 Grant Audits

We performed the 21 individual grant audits to determine whether reimbursements for costs claimed under the grants were allowable, supported, and in accordance with applicable laws, regulations, guidelines, and the terms and conditions of the grants. The audits resulted in 8 BJA dollar-related findings and \$3.2 million in related questioned costs, and 26 OJJDP dollar-related findings with questioned costs and funds that could be

put to better use amounting to \$2 million. Summaries of those questioned costs and findings are shown on the following tables (See Appendices III and IV for additional details).

Summary of Questioned Costs and Findings – BJA Grants

Grantee/Grant Number	Award Amount	Questioned Costs ¹⁷	Number of Dollar-Related Findings
American Prosecutors' Research Institute (2000-PP-CX-K001)	\$ 2,061,559		0
Search Group, Inc. (1999-MU-MU-0005)	2,500,000	\$ 29,602	2
National Council of Juvenile & Family Court Judges (98-MU-VX-K016)	2,904,655		0
National American Indian Court Judges Association (2000-IC-VX-0026)	1,442,112	31,921	4
Fund for the City of New York (98-DC-VX-K007)	1,839,269		0
Doe Fund, Inc. (2001-DD-BX-0055)	1,897,800	24,832	1
Grantee's name withheld due to ongoing investigation.	3,162,580	3,162,580	1 ¹⁸
Strategic Information Technology Center (University of Arkansas #1) (1999-LD-VX-0001)	6,700,000		0
School Violence Resource Center (University of Arkansas #2) (2000-DD-VX-0026)	3,995,600		0
Inter-Tribal Integrated Justice Pilot Project (University of Arkansas #3) (2001-LD-BX-K005)	1,562,900		0
Subtotal – BJA	\$28,066,475	\$3,248,935	8

Source: Office of the Inspector General Grant Audit Reports

¹⁷ Questioned costs are expenditures that do not comply with legal, regulatory, or contractual requirements, or are not supported by adequate documentation at the time of the audit, or are unnecessary or unreasonable. Questioned costs may be remedied by offset, waiver, recovery of funds, or the provision of supporting documentation.

¹⁸ The number of dollar-related findings is not yet final given the ongoing investigation.

Summary of Questioned Costs and Findings – OJJDP Grants

Grantee/Grant Number	Award Amount	Questioned Costs and Funds to Better Use ¹⁹	Number of Dollar-Related Findings
National Center for Missing and Exploited Children (2000-MC-CX-K021)	\$ 10,993,363		0
Development Services Group, Inc. (1999-JB-VX-K001)	5,377,201		0
Florida Atlantic University (95-JN-FX-0024)	2,018,869	\$ 199,221 (FBU) 20,419	4 1
Boys and Girls Clubs of America (98-JN-FX-0007)	9,275,000	437,885	5
Constitutional Rights Foundation (2001-JS-FX-008)	1,066,400		0
National Court Appointed Special Advocate Association (2002-CH-BX-K001)	3,823,500		0
Children’s Advocacy Center for the Pikes Peak Region (2001-MU-MU-K002)	1,124,343	17,975	3
Suffolk University (1999-JS-FX-0001)	5,060,685	25,279 (FBU) 68,905	2 1
Children’s Hospital (2000-CI-FX-K001)	1,286,115	351,484	3
Fox Valley Technical College #1 (98-MC-CX-K010)	7,263,359	777,090	3
Fox Valley Technical College #2 (98-MC-CX-K003)	2,298,701	15,768	4
Subtotal – OJJDP	\$ 49,587,536	\$ 1,914,026	26
Total BJA and OJJDP Questioned Costs and Funds to Better Use	\$ 77,654,011	\$ 5,162,961	34

Source: Office of the Inspector General Grant Audit Reports

¹⁹ Funds to Better Use are future funds that could be used more efficiently if management took actions to implement and complete audit recommendations.

Grant Expenditures

We found many violations of essential grant and accounting requirements in our audits of the 21 grants (See Appendix II for additional details). For example:

- Eight grantees claimed and were reimbursed for costs that were not supported by their accounting records (\$1,534,649);
- Two grantees claimed and were reimbursed for expenditures that were not included in the approved grant budget (\$178,405);
- Five grantees claimed and were reimbursed for costs that were not allowed under the grant (\$123,322);
- Suffolk University had program income of \$68,905 that was not used to reduce future draw downs or returned to the federal government;
- Children's Hospital drew down excess funds (\$30,595) and transferred excessive funds between budget categories without written approval from the OJP (\$59,903);

Our 21 grant audits also resulted in a number of significant non-dollar-related findings.²⁰ For example:

- The Fund for the City of New York incorrectly budgeted certain costs, e.g., compensated employee leave;
- The internal controls over authorization and approval of grant expenditures at the Doe Fund, Inc. were inadequate; and
- The University of Arkansas did not maintain complete and accurate inventory records for property purchased under grants to its Strategic Information Technology Center and its Inter-Tribal Integrated Pilot Justice Project.

However, in our judgment the most significant non-dollar-related findings involved the timeliness and accuracy of grantee Financial Status and

²⁰ See Appendix III for details regarding the following grantees: Fund for the City of New York; Doe Fund, Inc.; and University of Arkansas grants #1 and #3.

Progress Reports. A summary of findings pertaining to this area is described in the following section.

Financial Status and Progress Reports

Financial Status Reports – According to the *OJP Financial Guide*, each grantee is required to submit a Financial Status Report (FSR) to the awarding agency within 45 days of the end of each calendar quarter. We reviewed the FSRs throughout the grant periods for the audited grants and determined that 10 of the grantees submitted a total of 22 late and 10 inaccurate quarterly FSRs. The untimely reports were submitted as many as 60 days after the due date.

Untimely and/or Inaccurate Financial Status Reports

Grantee	Number of Reports Required	Number of Late Reports	Number of Inaccurate Reports
National American Indian Court Judges Association	13	6	0
Fund for the City of New York	18	3	0
Doe Fund, Inc.	7	2	0
School Violence Resource Center (University of Arkansas)	12	0	2
Florida Atlantic University	32	1	0 ²¹
Boys and Girls Clubs of America	22	0	1
Children’s Advocacy Center for the Pikes Peak Region	10	1	7
Suffolk University	18	2	0
Children’s Hospital	14	2 ²²	0
Grantee’s name withheld due to ongoing investigation	12	5	0
Total	158	22	10

Source: Office of the Inspector General Grant Audit Reports

Progress Reports – According to the *OJP Financial Guide*, Progress Reports must be submitted within 30 days after the end of the reporting periods (June 30 and December 31). Progress Reports are supposed to describe in a narrative fashion information relevant to the performance of a plan, program, or project. We reviewed the Progress Reports throughout the grant periods for the 21 audited grants and determined that 13 grantees submitted a total of 43 reports late. The untimely reports were submitted as many as 170 days after the due date. In addition, 10 reports for these grantees could not be located.

²¹ We determined that the grantee failed to report program income received from the grant on the FSRs as required. However, we could not determine with certainty when the grantee should have started to report program income.

²² The untimely reports were submitted 42 and 57 days after the due date. The OJP failed to date-stamp 11 of the reports when received; consequently, we could not determine the timeliness of their submission.

Untimely or Missing Progress Reports

Grantee	Number of Reports Required	Number of Late Reports	Number of Missing Reports
National Council of Juvenile and Family Court Judges	10	4 ²³	0
National American Indian Court Judges Association	7	2	1
Fund for the City of New York	9	3 ²⁴	1
Doe Fund, Inc.	4	3	0
Grantee's name withheld due to ongoing investigation.	8	4	4
School Violence Resource Center (University of Arkansas)	6	1	0
Inter-Tribal Integrated Justice Pilot Project (University of Arkansas)	3	2	0
Development Services Group, Inc.	9	1	0
Florida Atlantic University	15	9	3
Boys and Girls Clubs of America	11	8	1
Constitutional Rights Foundation	3	1	0
Children's Advocacy Center for the Pikes Peak Region	5	2	0
Suffolk University	9	2	0
Children's Hospital	7	1 ²⁵	0
Total	106	43	10

Source: Office of the Inspector General Grant Audit Reports

²³ One of the four Progress Reports was submitted 170 days after the due date.

²⁴ We concluded that at least three of the nine progress reports were filed late and it is possible that the remaining six were also late. Because of the incomplete records on the part of both the Fund and the OJP, we could not determine whether the filing of seven reports on October 8, 2002, was the Fund's first or second submission for these reports.

²⁵ The untimely report was submitted 75 days late. Three other reports were not date-stamped by the OJP; therefore, we could not determine the timeliness of their submission.

In our judgment, the failure to enforce the timely and accurate submission of FSRs and Progress Reports compromises the OJP's ability to ensure the proper use of grant funds, and increases the risk that the OJP will fund projects that are ineffective or failing to meet their objectives. OJP can help address this issue by providing grant managers with training about the submission of timely and accurate reports, allowable costs, grant monitoring, and grant closeout procedures.

Another contributing factor to the weaknesses we identified is that not all of the key elements for monitoring grant activity have been implemented in OJP's automated system for managing grants. The OJP's Grants Management System (GMS) was initiated in December 1998 as a pilot program to streamline the solicitation, application, and award of grants. If it functioned at its full capacity, the GMS should provide "one-stop," full life-cycle support for all of the OJP's grant management efforts. This, in turn, would improve efficiency of grant monitoring efforts, improve access to information, and enhance search and reporting capabilities. While the OJP has mandated that the GMS be used by its various components, several of the modules of the GMS were not fully operational during our audit period. At the beginning of our audit, we were told by OJP officials that the GMS was being implemented in phases and that it would be fully functional by the end of 2003. However, we were informed that the enhanced GMS, which will include all modules to manage grants from beginning to end, is not scheduled to fully operational until September 30, 2004. In our judgment, the OJP's lack of systematic data to support grant management monitoring efforts is attributable, in part, to the lack of full GMS implementation.²⁶

Recommendations:

We recommend that the OJP ensure that:

1. Grant managers receive annual training on OJP's requirements governing the submission of timely and accurate reports, allowable costs, grant monitoring, and grant closeout procedures.
2. The GMS is brought up to full functioning capacity as soon as possible and grant managers are trained to utilize this system.

²⁶ In April 2004, grantees had the option of submitting their FSRs electronically through the web-based SF 269 application. However, with the first reporting period in FY 2005, all grantees are required to submit their FSRs electronically.

2. PROGRAM PERFORMANCE

The OJP is not collecting sufficient data to measure the performance of TA&T grants. Further, the OJP does not play a role in developing grantees' performance or outcome measures for program evaluation purposes, nor does it have specific requirements that grantees must adhere to in developing performance measures. As a result, for the 21 grants that we audited, it was not possible to assess the impact of the TA&T program and determine whether the grants were achieving their intended purposes.

According to the OJP, grant evaluation assesses the effectiveness of an ongoing program in achieving its objectives, relies on the standards of project design to distinguish a program's effects from those of other forces, and seeks to improve programs through a modification of current operations. Program evaluations are critical because they can be used to improve existing programs and provide policymakers and program managers with information for future program development. In addition, evaluations are used to assess how well programs have been implemented, and the extent to which funded activities have achieved their stated goals.

Program evaluation is especially important to the Department of Justice because, through the OJP, it administers over \$6 billion in grants. Without proper evaluation, the OJP cannot determine whether the grants it awards are an appropriate use of Department funds. In addition, program evaluations provide policymakers and managers with information about which programs are successful and which programs are inefficient.

The OJP is responsible for collecting data to report on performance measures and for evaluating the performance of all programs. OJP officials told us that in its solicitations, applicants are notified that they are required to collect and report data that measures the results of their grant(s). However, we found that for the 21 grantees audited, the OJP did not collect and report the appropriate data to measure program results. Moreover, the grant files we reviewed showed no indication that the OJP Grant Managers participated in developing program measures.

Grantee Evaluation Methods

We determined that the OJP relies on grantees' semi-annual categorical Progress Reports to determine if projects have been successful. Although these reports give the OJP an outline of grantees' activities, productivity, and self-assessment, this method of evaluation may not

produce definitive results. Moreover, grantees' self-assessments cannot be considered objective measures of accomplishment. In addition, agencies that fund their own evaluations can be in the position to practice undue influence that jeopardizes the objectivity of the findings. For example, an agency funding an evaluation of itself may select an evaluator who is likely to produce the results desired by the agency.

Our review of 21 TA&T grants indicated that grantees generally perform self-assessments through participant evaluations. For example, some grantees conduct training for criminal justice practitioners addressing new criminal justice issues. At the conclusion of the training, grantees might request that participating practitioners complete an evaluation form to assess the training. The grantee then compiles and summarizes the information from all of the evaluation forms in an effort to measure the success of the training provided. We consider this an insufficient form of evaluation because there is no assurance that respondents will give this kind of questionnaire more than cursory attention or provide candid responses. In our judgment, in addition to the self-assessment, grantees should use outside consultants (following the methodology described in the next paragraph) to evaluate their presentations and provide specific commentary to the grantees addressing how they could improve their training.

We also determined that the OJP does not work with its grantees to develop useful program evaluations. We asked the TA&T grantees in our sample to respond to a questionnaire about program evaluation. Twenty of the grantees stated that the OJP did not play a role in developing performance or outcome measures after making the grant award. In addition, we found that the OJP has no specific requirements to which the grantee must adhere in developing performance measures. We believe this lack of specific requirements results in the OJP having insufficient data to measure program performance.

In the 21 grants we audited, the OJP did not have the necessary information to determine whether the program was successful in meeting its intended purpose.²⁷ When we discussed the OJP's lack of a formal evaluation of grantee success in implementing program objectives and goals, we were told by senior BJA and OJJDP officials that OJP does not require grant managers to formally evaluate the success or failure of a grant. Instead, the officials said that the OJP relies solely on the Progress Reports, even though the reports almost always indicate the grant is achieving its stated objectives. Generally, grant managers review grant files before

²⁷ See Appendices V and VI for grantee evaluation methods.

grants are renewed, but no formal evaluation is prepared to support the renewal of a grant, nor is such an evaluation required.

Besides the evaluation methods listed by the grantees in response to our questionnaire, our audit disclosed that three grantees hired outside contractors to evaluate their grant programs. While independent evaluations can be helpful without OJP's participation the evaluation design and scope may not be comprehensive. For example, the Boys and Girls Club requested that program recipients evaluate the training provided to them through surveys developed and evaluated by the Policy Studies Associates (PSA) organization. This evaluation process was designed to collect data about program implementation, the participants' experiences, and positive training outcomes. The PSA used a combination of participant surveys, site visits, and telephone interviews in its data collection efforts. While these methods of evaluation can be useful in measuring program implementation and participants' experiences, they do not measure post-training impacts or program outcomes. Had OJP collaborated with the grantee and PSA, a more comprehensive evaluation could have been developed to measure these outcomes.

The OJP's Program Evaluation Efforts

In an effort to develop an overall grant program evaluation system, the OJP has sponsored a series of focus group meetings for Technical Assistance (TA) recipients (e.g., individuals in state and local agencies, local courts, community-based organizations, and the U.S. Attorney's offices), TA providers, and the OJP staff.²⁸ The focus group participants identified 10 factors as obstacles to the effective delivery of TA:

- Limitations of time and resources;
- Lack of information about available TA and resources;
- Inability to select preferred type of TA, or to select individual TA providers;
- Lack of information about the particular situations in recipient jurisdictions, previous TA work projects, and available work products;

²⁸ The themes and recommendations that emerged from this research are documented in a report produced by the Justice Management Institute in Denver, Colorado, entitled Improving the Effectiveness of Technical Assistance—A Report on Focus Group Meetings of Criminal Justice Practitioners, Technical Assistance Providers, and OJP Staff.

- Requirements of state sign-off for certain types of TA;
- Lack of mechanisms for accountability and feedback;
- Lack of commonly shared expectations regarding what constitutes effective TA;
- Lack of a research base about what constitutes effective TA;
- Lack of diversity in the pool of persons used as TA providers; and
- Limitations on the permissible scope of the OJP TA and categorical funding limitations.

The OJP stated that it intends to improve its program evaluation efforts. In testimony prepared for the House Judiciary Committee, the OJP's Principal Deputy Assistant Attorney General said that part of the OJP's new vision, "is an increased emphasis on measuring the results of the programs we fund and on focusing OJP resources on what works."²⁹ The statement went on to say that the OJP now requires evaluation components in all OJP discretionary grant programs, and is setting aside 10 percent of program funding to ensure evaluations are built into OJP programs from the outset. Moreover, OJP discretionary grant recipients are now required, as part of their grant conditions, to participate in a national or local program evaluation so that the effectiveness of these programs will be measured. During our review, we did not find evidence that these requirements had been implemented. In fact, our audit disclosed that only three grantees hired outside contractors to evaluate their grant programs (See Appendices V and VI).

Recommendation:

We recommend that the OJP:

3. Develop performance or outcome measures for TA&T grants.

²⁹ *Statement of Tracy A. Henke, Principal Deputy Assistant Attorney General, Office of Justice Programs, Before the Subcommittee On Crime, Committee on the Judiciary, U.S. House of Representatives, Concerning Office of Justice Programs Oversight (March 14, 2002).*

STATEMENT ON MANAGEMENT CONTROLS

In planning and performing our audit of the OJP's Technical Assistance and Training program, we evaluated the OJP's management controls for the purpose of determining our auditing procedures. This evaluation was not made for the purpose of providing assurances on the management control structure as a whole.

Reportable conditions involve matters coming to our attention relating to significant deficiencies in the design or operation of the management control structure that, in our judgment, could adversely affect the OJP's ability to effectively manage its achievement of the Technical Assistance and Training program. As discussed in the Findings and Recommendations section of this report, for the 21 grants in our sample we identified weaknesses in the monitoring of grants and in the development of adequate performance measures to evaluate the accomplishments of the grants.

Because we are not expressing an opinion on the OJP's management control structure as a whole, this statement is intended solely for the information and use of the OJP in managing its Technical Assistance and Training grants. This restriction is not intended to limit the distribution of this report, which is a matter of public record.

STATEMENT ON COMPLIANCE WITH LAWS AND REGULATIONS

We audited the OJP's internal control measures to ensure accurate financial reporting by grantees and the OJP's monitoring and evaluation of its technical assistance grantees.

The audit covered selected grants from FYs 1995 through 2002 and the OJP's grant-monitoring activities through the first half of FY 2004. The audit was conducted in accordance with the *Government Auditing Standards* issued by the Comptroller General of the United States.

Compliance with laws and regulations is the responsibility of the OJP's management. In connection with the audit and as required by the *Standards*, we reviewed procedures, activities, and records to obtain reasonable assurance about the OJP's compliance with laws and regulations that, if not complied with, we believe could have a material effect on program operations.

An audit includes examining, on a test basis, evidence about laws and regulations. The specific requirements for which we conducted tests are contained in the United States Code, Title 28, Section §66, and the OJP Grant Managers Manual and *OJP Financial Guide*.

Except for those issues discussed in the Findings and Recommendations section in this report, nothing came to our attention that causes us to believe that the OJP management was not in compliance with the section of the United States Code cited above.

OBJECTIVES, SCOPE, AND METHODOLOGY

Objectives

The objectives of our audit were to: (1) determine whether the Office of Justice Programs (OJP) implemented internal control measures to ensure accurate financial reporting by grantees, and (2) assess the OJP's monitoring and evaluation of grant objectives.

Scope and Methodology

The audit was performed in accordance with the *Government Auditing Standards* issued by the Comptroller General of the United States, and included tests and procedures necessary to accomplish the objective.

Generally, the audit focused on the administrative activities and grant management functions within the OJP's Bureau of Justice Assistance (BJA), Office of Juvenile Justice and Delinquency Prevention (OJJDP), Office of the Comptroller (OC), and the Office of Budget and Management Services (OBMS). We performed our fieldwork at the OJP headquarters in Washington, D.C., and at 18 grantee locations throughout the country.³⁰

To accomplish the audit objectives, we judgmentally selected 21 grants of \$1 million or more for review. The total dollar amount of these 21 grants was \$77.7 million, or 25 percent of the \$312.5 million in TA&T grants awarded during various time periods between FY 1995 and FY 2002.

In addition, we conducted interviews with officials from the OJP, including the Principal Deputy Assistant Attorney General and staff from the BJA, the OJJDP, the OC, the OBMS, and the Office for Victims of Crime. We also reviewed a wide variety of documents, including: the OJP's organizational structure and grant management guidance; the grant management policies and procedures of the BJA, the OJJDP, and the OC; and the OBMS's budget and performance measurement processes.

³⁰ We audited a total of 21 grants at these 18 sites. Two grantees received multiple awards.

The interviews and analyses of documents included:

- Reviewing prior audit reports and studies by the Department of Justice and other agencies on related issues;
- Reviewing applicable laws, organization charts, mission statements, and program policies and procedures;
- Reviewing budgetary documents to determine the funds budgeted and expended for each fiscal year;
- Interviewing OJP component heads and officials to obtain an understanding of their operations;
- Reviewing organizational structures of the OJP and its Bureaus;
- Obtaining an understanding of the OJP's grant management policies and procedures; and
- Assessing whether the OJP is effectively evaluating the Technical Assistance and Training Program.

APPENDIX II

SUMMARY OF DOLLAR-RELATED FINDINGS

Grantee	Total Questioned Costs	Unsupported Costs	Unapproved Costs	Unallowable Costs	Excess Draw Downs	Excess Transfers	Program Income	Imputed Interest	Questioned Entire Grant
Search Group, Inc.	\$29,602 ³¹	\$25,000						\$4,602	
National American Indian Court Judges Association	31,921	3,439		\$28,482					
Doe Fund, Inc.	24,832	24,832							
Grantee's name withheld due to ongoing investigation	3,162,580								\$3,162,580
Florida Atlantic University	199,221 20,419 ³²	198,221 20,419*		1,000					
Boys & Girls Clubs of America	437,885	362,434		75,451					
Children's Advocacy Center for the Pikes Peak Region	17,975			17,975					
Suffolk University	25,279 68,905*	9,691	\$15,588				\$68,905*		
Children's Hospital	351,484	260,986			\$30,595	\$59,903			
Fox Valley Technical College Missing Children's Assistance #1	777,090	629,627	147,463						
Fox Valley Technical College Missing Children's Assistance #2	15,768		15,354	414					
TOTAL	\$5,162,961	\$1,534,649	\$178,405	\$123,322	\$30,595	\$59,903	\$68,905	\$4,602	\$3,162,580

Sources: Office of the Inspector General Grant Audits

* Funds to better use.

³¹ Questioned costs are expenditures that do not comply with legal, regulatory, or contractual requirements, or are not supported by adequate documentation at the time of the audit, or are unnecessary or unreasonable. Questioned costs may be remedied by offset, waiver, recovery of funds, or the provision of supporting documentation.

³² Funds to Better Use are future funds that could be used more efficiently if management took actions to implement and complete audit recommendations.

APPENDIX III

**TECHNICAL ASSISTANCE AND TRAINING GRANTS
SUMMARY OF AUDIT FINDINGS – BJA**

Grantee/Grant Number	Findings	Questioned Costs
American Prosecutors' Research Institute 2000-PP-CX-K001	N/A	N/A
Search Group, Inc. 1999-MU-MU-0005	<ul style="list-style-type: none"> • Unsupported disbursements • Imputed interest as a result of advances drawn down in excess of the funds necessary for immediate disbursement • Did not receive prior approval for budget transfers exceeding 10 percent of the grant award • Did not accurately report total spending on the FSRs 	<p style="text-align: right;">\$25,000³³</p> <p style="text-align: right;"><u>4,602</u></p> <p style="text-align: right;">\$ 29,602</p> <p style="text-align: right;">N/A</p> <p style="text-align: right;">N/A</p>
National Council of Juvenile & Family Court Judges 98-MU-VX-K016	<ul style="list-style-type: none"> • Grantee did not submit all of its progress reports timely 	N/A
National American Indian Court Judges Association 2000-IC-VX-0026	<ul style="list-style-type: none"> • Unsupported other direct costs • Unallowable other direct costs • Unallowable personnel salaries • Unallowable fringe benefit costs • Requests for draw downs were not in accordance with the <i>OJP Financial Guide</i> • Grantee did not submit all its Financial Status Reports and Progress Reports timely 	<p style="text-align: right;">\$ 3,439</p> <p style="text-align: right;">1,608</p> <p style="text-align: right;">15,812</p> <p style="text-align: right;"><u>11,062</u></p> <p style="text-align: right;">\$ 31,921</p> <p style="text-align: right;">N/A</p> <p style="text-align: right;">N/A</p>
Fund for the City of New York 98-DC-VX-K007	<ul style="list-style-type: none"> • Three of the eighteen Financial Status Reports were untimely • Three of the nine Progress Reports were 	<p style="text-align: right;">N/A</p> <p style="text-align: right;">N/A</p>

³³ Questioned costs are expenditures that do not comply with legal, regulatory, or contractual requirements, or are not supported by adequate documentation at the time of the audit, or are unnecessary or unreasonable. Questioned costs may be remedied by offset, waiver, recovery of funds, or the provision of supporting documentation.

Grantee/Grant Number	Findings	Questioned Costs
	untimely <ul style="list-style-type: none"> • Grantee incorrectly budgeted certain costs related to compensated employee leave • Grantee did not ensure that its personnel and fringe benefit budgets complied with applicable laws, regulations, and guidelines 	N/A
Doe Fund, Inc. 2001-DD-BX-0055	<ul style="list-style-type: none"> • Two of the seven Financial Status Reports were untimely • Three of the four Progress Reports were untimely • Internal controls over the authorization and approval of grant expenditures were inadequate • Grantee did not provide support for 9 of the 53 sampled expenditures charged to the agreement 	N/A N/A N/A \$ 24,832
Grantee's name withheld due to ongoing investigation.	<ul style="list-style-type: none"> • Numerous findings. The entire grant is being questioned pending the outcome of an OIG investigation 	\$ 3,162,580
Strategic Information Technology Center (University of Arkansas) 1999-LD-VX-0001	<ul style="list-style-type: none"> • Grantee did not maintain complete and accurate inventory records for the property purchased with grant funds 	N/A
School Violence Resource Center (University of Arkansas) 2000-DD-VX-0026	<ul style="list-style-type: none"> • One of the six Progress Reports due since the inception of the grant was submitted late • Early in the grant the grantee erroneously reported indirect costs on a cumulative basis 	N/A N/A
Inter-Tribal Integrated Justice Pilot Project (University Of Arkansas) 2001-LD-BX-K005	<ul style="list-style-type: none"> • Grantee did not maintain complete and accurate inventory records for the property purchased with grant funds • Two of the three Progress Reports due since the inception of the grant were submitted late 	N/A N/A
TOTAL – BJA		\$ 3,248,935

APPENDIX IV

**TECHNICAL ASSISTANCE AND TRAINING GRANTS
SUMMARY OF AUDIT FINDINGS – OJJDP**

Grantee/Grant Number	Findings	Questioned Costs
National Center for Missing and Exploited Children 2000-MC-CX-K021	N/A	N/A
Development Services Group, Inc. 1999-JB-VX-K001	<ul style="list-style-type: none"> • Grantee did not submit all of its Financial Status Reports and Progress Reports timely 	N/A
Florida Atlantic University 95-JN-FX-0024	<ul style="list-style-type: none"> • Unsupported costs for program income received by the grantee 	\$ 24,920 ³⁴
	<ul style="list-style-type: none"> • Unsupported costs reimbursed for sample expenditures tested that were not supported by documentation 	166,071
	<ul style="list-style-type: none"> • Unsupported indirect costs 	7,230
	<ul style="list-style-type: none"> • Unallowable costs reimbursed for sample expenditures tested that were not approved by the financial clearance memorandum 	1,000
	<ul style="list-style-type: none"> • Unsupported costs reimbursed in excess of expenditures recorded in the grantee's accounting records but subsequently returned to the OJP and placed in the grantee's account 	(FBU³⁵) \$ 20,419
	<ul style="list-style-type: none"> • Grantee failed to submit all Progress Reports timely 	N/A
	<ul style="list-style-type: none"> • Grantee's quarterly Financial Status Reports did not identify and report all program income generated by the grant 	N/A
	<ul style="list-style-type: none"> • Grantee failed to retain all supporting documentation for grant expenditures until after the grant was closed 	N/A

³⁴ Questioned costs are expenditures that do not comply with legal, regulatory, or contractual requirements, or are not supported by adequate documentation at the time of the audit, or are unnecessary or unreasonable. Questioned costs may be remedied by offset, waiver, recovery of funds, or the provision of supporting documentation.

³⁵ Funds to Better Use are future funds that could be used more efficiently if management took actions to implement and complete audit recommendations.

Grantee/Grant Number	Findings	Questioned Costs
	<ul style="list-style-type: none"> Grantee failed to ensure that sub-grantees complied with all requirements of OMB Circular A-133 	N/A
Boys and Girls Clubs of America 98-JN-FX-0007	<ul style="list-style-type: none"> Unsupported costs reimbursed for professional services contracts for which the grantee could not provide copies of the contracts Unsupported costs reimbursed in excess of expenditures recorded in the grantee's general ledger accounting records Unsupported costs reimbursed that were not supported by invoices or other detailed documentation Unallowable costs reimbursed that were either not approved by the OJP or were higher than the amount approved by the OJP Unallowable costs reimbursed for categories not approved by the OJP Grantee failed to submit Progress Reports for the period January to June 1998 Grantee did not properly identify accountable property acquired with grant funds or ensure that such property was used only for grant purposes 	\$ 55,054 27,923 279,457 20,000 <u>55,451</u> \$ 437,885 N/A N/A
Constitutional Rights Foundation 2001-JS-FX-008	<ul style="list-style-type: none"> Grantee filed one Progress Report 32 days beyond the submission due date 	N/A
National Court Appointed Special Advocate Association 2002-CH-BX-K001	N/A	N/A
Children's Advocacy Center for the Pikes Peak Region 2001-MU-MU-K002	<ul style="list-style-type: none"> Unallowable other direct costs Unallowable personnel costs Unallowable fringe benefits Grantee submitted inaccurate Financial Status Reports Grantee failed to submit all its Financial Status Reports and Progress Reports timely 	\$ 1,798 14,915 <u>1,262</u> \$ 17,975 N/A N/A

Grantee/Grant Number	Findings	Questioned Costs
Suffolk University 1999-JS-FX-0001	<ul style="list-style-type: none"> • Two of the 18 Financial Status Reports were not submitted timely • Two of the 9 Progress Reports were not submitted timely • Grantee did not provide adequate support for 9 of the 40 sampled expenditures charged to the agreement • Salary expenses for a part-time clinical supervisor were not approved in the initial grant budget • Program income was not used to reduce future draw downs or returned to the federal government 	N/A N/A \$ 9,691 <u>\$ 15,588</u> \$ 25,279 (FBU) \$ 68,905
Children's Hospital 2000-CI-FX-K001	<ul style="list-style-type: none"> • Excess transfers into budget categories • Excess funds drawn down • Unsupported personnel costs • Grantee did not ensure that grant-funded personnel would properly report the time worked on grant activities • Grantee submitted Financial Status Reports that did not accurately reflect expenses and program income 	\$ 59,903 30,595 <u>260,986</u> \$351,484 N/A N/A
Fox Valley Technical College Missing Children's Assistance #1 98-MC-CX-K010	<ul style="list-style-type: none"> • Unsupported salaries • Unapproved wages and fringe benefits • Unapproved budget transfers • Grantee transferred more than 10 percent of grant funds between budget categories without obtaining prior OJP approval • Grantee failed to add all grant-funded equipment to the College's inventory database and to perform physical inventories of such equipment at least once every two years 	\$ 629,627 23,272 <u>124,191</u> \$777,090 N/A N/A

Grantee/Grant Number	Findings	Questioned Costs
Fox Valley Technical College Missing Children's Assistance #2 98-MC-CX-K003	<ul style="list-style-type: none"> • Unapproved overtime wages • Unapproved overtime fringe benefits • Unapproved equipment purchases • Non-grant-related labor costs • Grantee failed to add all grant-funded equipment to the College's inventory database and to perform physical inventories of such equipment at least once every two years 	\$ 8,455 1,545 5,354 <u>414</u> \$ 15,768 N/A
TOTAL – OJJDP	<ul style="list-style-type: none"> • Questioned costs • Funds to better use 	\$1,824,702 <u>89,324</u> \$1,914,026

APPENDIX V

TECHNICAL ASSISTANCE AND TRAINING GRANTS
SUMMARY OF PERFORMANCE MEASURES – BJA

Purpose of Grant	Evaluation Method	Based on the grantee's evaluation method, can the OJP measure program performance or impact?
American Prosecutors' Research Institute (APRI) 2000-PP-CX-K001		
Provided grantees (who planned, implemented, and enhanced community prosecution programs), access to APRI support, expert guidance, and information in order to be successful in developing and implementing a more comprehensive criminal justice concept that fit their individual jurisdictions. Between January 14, 2000, and September 26, 2001, the OJP awarded the grantee a total of \$2,061,559.	Conducted surveys and provided evaluation forms to recipients.	No ³⁶
Search Group, Inc. 1999-MU-MU-0005		
Assisted courts in upgrading existing systems and in developing integrated systems with other courts and justice system agencies, as well as developing peer-to-peer support relationships among state court and justice system management information system (MIS) managers and directors. In addition, the grant allowed for a comprehensive program of technical assistance to aid non-automated courts. As of February 15, 2001, the grantee was awarded a total of \$2,500,000 to provide technical assistance to improve the general level of knowledge and understanding of court information system management.	Provided surveys to recipients to obtain feedback as to whether the technical assistance was useful.	No
National Council of Juvenile & Family Court Judges 98-MU-VX-K016		
Provided training and technical assistance for jurisdictions that were developing, improving, or enhancing juvenile drug courts. As of September 30, 2001, the grantee was awarded a total of \$2,904,655 to equip jurisdictions with the knowledge and skills to strengthen their efforts in providing effective treatment to juveniles by promoting the abilities and potential of the child, encouraging abstinence, and reducing recidivism.	Provided evaluation forms to trainees to determine whether the training was useful. Provided recipients with surveys to rate the technical assistance.	No
National American Indian Court Judges Association 2000-IC-VX-0026		
Established an online resource for tribes by identifying and developing online tools and resources for daily support	Program recipients were given the opportunity to	No

³⁶ We concluded that the OJP does not collect sufficient information from the grantees to measure program performance or program impact.

Purpose of Grant	Evaluation Method	Based on the grantee's evaluation method, can the OJP measure program performance or impact?
and technical assistance for tribal justice systems. Between March 2000 and September 2003, the grantee was awarded a total of \$1,442,112 to implement and enhance online technical assistance.	evaluate the technical assistance or training services. Grantee will make changes to program based on evaluation results.	
Fund for the City of New York 98-DC-VX-K007		
Provided training and technical assistance to Drug Court Grant Program recipients and to the drug court field in general. Between September 1998 and February 2002, the grantee was awarded a total of \$1,839,269 to host roundtable forums, develop and conduct educational courses, create and distribute printed material and publications, develop an Internet website, assist in developing drug court MIS, and conduct site visits at the Brooklyn Treatment Court.	Individual training program evaluation forms were completed on-site by participants. Staff reviewed and summarized comments and calculated average evaluation scores.	No
Doe Fund, Inc. 2001-DD-BX-0055		
Provided the paid work and job skills training portion of the Ready, Willing, and Able program to: 1) increase literacy, office, and computer skills of participants, 2) reduce drug use, 3) increase employment of participants, and 4) eliminate barriers to legal employment. Between July 1, 2001, and June 30, 2003, the grantee was awarded a total of \$1,897,800.	Grantee received feedback/evaluation from program users through monthly meetings held at housing facilities. Also, the residents can anonymously note concerns through a recommendation box located within the facility.	No
Grantee's name withheld due to ongoing investigation.		
Provided financial support, as well as training and technical assistance to community groups nationwide so that they would become more involved in crime prevention activities. Between April 5, 2000, and May 31, 2002, the grantee was awarded an initial grant and three supplementals totaling \$3,162,580. Using about \$1.7 million of those funds, the grantee entered into agreements with 36 sub-grantees across the country; the agreements ranged in value from \$10,000 to \$30,000 per year.	Contracted with a consultant to provide an evaluation of the project. Occasionally solicited feedback from a narrow population of training conference attendees.	No
Strategic Information Technology Center (University of Arkansas) 1999-LD-VX-0001		
Created and established the Strategic Information Technology Center (Center). The Center contained two primary tracks: a Rural Law Enforcement Technical Assistance Enhancement Project, designed to provide rural law enforcement agencies with access to electronic resources, databases, and the Internet; and Project PATHFINDER, designed to create a strategic information technology plan to meet the nationally recognized lack of	The grantee conducted a User Satisfaction Survey during 2001. The survey was done online and the results were maintained in a database so the information could be accessed and/or queried at any time.	No

Purpose of Grant	Evaluation Method	Based on the grantee's evaluation method, can the OJP measure program performance or impact?
easy, guided access to centralized and categorized information, education, and technical assistance to all units of government.		
School Violence Resource Center (University of Arkansas) 2000-DD-VX-0026		
Provided training and technical assistance to educators, law enforcement, local government, and community service organizations for developing strategies that addressed school violence issues. As of September 15, 2003, the grantee was awarded a total of \$3,995,600 to implement a web-based national school violence resource center, produce school violence-related publications, and hold focus groups, advisory meetings, and workshops.	Grantee had an evaluation form for workshops that participants were encouraged to complete. The grantee also had a web-based survey form used to collect information on law enforcement school-based programs.	No
Inter-Tribal Integrated Justice Pilot Project (University Of Arkansas) 2001-LD-BX-K005		
Provided technical assistance and training to the Navajo Nation, Hopi Tribe, and Pueblo of Zuni justice agencies to promote more effective sharing of information within the tribes. As of September 15, 2003, the grantee was awarded a total of \$1,562,900 to establish an information technology infrastructure that would facilitate inter-tribal integration and provide training necessary to encourage the use of information systems and support sustainability.	There was no formal evaluation method in place.	No

APPENDIX VI

**TECHNICAL ASSISTANCE AND TRAINING GRANTS
SUMMARY OF PERFORMANCE MEASURES – OJJDP**

Purpose of Grant	Evaluation Method	Based on the grantee's evaluation method, can the OJP measure program performance or impact?
National Center for Missing and Exploited Children 2000-MC-CX-K021		
Developed standards for School Resource Officers (SRO) and developed and conducted SRO training nationwide. Between June 26, 2000, and August 14, 2002, the grantee was awarded a total of \$10,993,363, of which Fox Valley Technical College was authorized to receive \$8,411,398 as a single-source provider.	All course participants were required to turn in a completed evaluation form in order to receive a certificate. Results were tabulated and summarized.	No ³⁷
Development Services Group, Inc. 1999-JB-VX-K001		
Provided technical assistance and training to states and units of local government with funds to develop programs to promote greater accountability in the juvenile justice system. From November 1, 1998, to June 30, 2003, the OJP awarded the grantee a total of \$5,377,201.	Participants were asked to complete evaluation forms at the end of each session or day, depending on the training.	No
Florida Atlantic University 95-JN-FX-0024		
Provided assistance to juvenile justice systems wishing to: 1) expand and enhance restitution and related restorative sanctioning programs and practices, 2) use these programs and practices as a catalyst for broader changes in juvenile justice sanctioning and supervision practices, and 3) redesign or restructure their community supervision systems based on a Balanced Approach mission within a Restorative Justice conceptual framework (BARJ). As of September 30, 2003, the grantee was awarded a total of \$2,018,869 to provide training and technical assistance to states and local jurisdictions wishing to implement to BARJ model.	Only verbal evaluations took place at the roundtables; thus the grantee's staff evaluated progress of each state participating in the roundtables based on oral reports and supplemental materials provided in advance and at the roundtable meetings. In addition, outside contractors were hired to evaluate the	No ³⁸

³⁷ We concluded that the OJP does not collect sufficient information from the grantees to measure program performance or program impact.

³⁸ However, one of the objectives listed in a subsequent grant application related to the development of performance measures and a performance measurement methodology to be utilized by juvenile justice systems nationwide to determine the impact of balanced and restorative justice. The subsequent grant was awarded under a new project number, 2002-JI-BX-0002 on August 2003, but had not been implemented when we performed on audit.

Purpose of Grant	Evaluation Method	Based on the grantee's evaluation method, can the OJP measure program performance or impact?
	project.	
Boys and Girls Clubs of America (BGCA) 98-JN-FX-0007		
Built upon the existing efforts of the BGCA and the Taco Bell Foundation to provide educational, recreational, and community service activities through current TEENS supreme Centers operated nationwide by local BGCAs. As of August 31, 2003, the grantee was awarded a total of \$9,275,000 to provide a comprehensive array of career preparation services to youth, ages 13 to 18, with a special emphasis on job preparedness, placement, and follow-up support services for 16 to 18 year-old club members.	The program recipients were given the opportunity to evaluate the training provided to them through surveys. The survey forms were provided and evaluated by Policy Studies Associates (PSA), the company contracted to perform evaluations of the TEENS supreme program. In addition, outside contractors were hired to evaluate the program.	No
Constitutional Rights Foundation 2001-JS-FX-008		
To teach young people about the law so that they can lead successful lives within the confines of the law. As of July 10, 2002, the grantee was awarded a total of \$1,066,400 to strengthen successful models in 49 states, the District of Columbia, and Puerto Rico, that link the Law Related Education with violence prevention.	Individual training program evaluation forms were completed on-site by participants and collected by staff. Staff reviewed and summarized comments and made changes to the program accordingly.	No
National Court Appointed Special Advocate Association 2002-CH-BX-K001		
Supported the grantee in providing training and technical assistance to its network of local programs across the nation. As of April 2, 2002, the grantee was awarded a total of \$3,823,500 to promote and enhance the highest possible volunteer representation of children by establishing methods and measures of consistency, quality, and cultural sensitivity in the management of Court Appointed Special Advocate/Guardian ad Litem (CASA/GAL) programs.	Individual training program evaluation forms were completed on-site by participants and collected by staff.	No
Children's Advocacy Center for the Pikes Peak Region 2001-MU-MU-K002		
Assisted communities in establishing and strengthening children's advocacy centers and multi-disciplinary teams to address the needs of child victims of abuse. Between December 2000, and February 2003, the grantee was awarded a total of \$1,124,343 to provide training and technical assistance to communities in the western region.	The grantee used two basic types of evaluation forms to evaluate training. The individual forms were reviewed and a consolidated form was prepared. The results were reviewed to assess the quality of services	No

Purpose of Grant	Evaluation Method	Based on the grantee's evaluation method, can the OJP measure program performance or impact?
	provided and adjustments were made to the training program as necessary. There was no method for evaluating the technical assistance.	
Suffolk University 1999-JS-FX-0001		
To improve legal services for juveniles in three targeted communities and to prevent at-risk juveniles from getting into legal difficulties. Between December 31, 1998, and August 14, 2002, the grantee was awarded a total of \$5,060,685.	The grantee provided training recipients with the opportunity to evaluate the training programs; however, the grantee did not retain the evaluations from participants in the clinical program. The legal assistance provided to the juveniles was not evaluated.	No
Children's Hospital 2000-CI-FX-K001		
To increase the number of facility-based, multi-disciplinary children's advocacy centers in the Midwest for the purposes of providing coordinated, non-traumatizing services to children and families that are victims of child abuse and neglect, and to strengthen existing services through local, state, regional, and national collaboration. As of March 19, 2003, the grantee had been awarded a total of \$1,286,115 to provide technical assistance and training to improve services available in the Midwest to child victims of physical and sexual abuse and neglect.	Program attendees at training and technical assistance events were requested to fill out evaluation forms. The results were compiled for each event.	No
Fox Valley Technical College Missing Children's Assistance #1 98-MC-CX-K010		
Provided training and technical assistance to professionals involved in the management or investigation of cases involving missing or exploited children. Between September 30, 1998, and August 27, 2002, the grantee was awarded an initial grant and four supplements totaling \$7,263,359.	The grantee provided an evaluation form to each participant attending regional training or receiving technical assistance. Most participants filled out and returned the forms. Grantee officials and the OJP read the evaluations and acted upon them if possible, including suggestions for improving or expanding the material covered.	No

Purpose of Grant	Evaluation Method	Based on the grantee's evaluation method, can the OJP measure program performance or impact?
Fox Valley Technical College Missing Children's Assistance #2 98-MC-CX-K003		
<p>Provided training and technical assistance to individuals and organizations involved in aiding and responding to missing and exploited children and their families. As of April 2, 2002, the grantee was awarded a total of \$2,298,701 to train state and local law enforcement officers through a training course entitled Responding to Missing and Abducted Children.</p>	<p>The grantee provided an evaluation form to each participant attending regional training or receiving technical assistance. Most participants filled out and returned the forms. Grantee officials and the OJP read the evaluations and acted upon them if possible, including suggestions for improving or expanding the material covered.</p>	<p>No</p>

**DESCRIPTIONS OF THE OFFICE OF JUSTICE PROGRAMS/
BUREAUS, PROGRAM OFFICES, AND SUPPORT OFFICES**

BUREAUS

Bureau of Justice Assistance (BJA). Established by the Omnibus Crime Control & Safe Streets Act of 1968 § 401, the BJA provides funding, training, and technical assistance to state and local governments to combat violence and drug-related crime, and to help improve the criminal justice system. This bureau now includes the former Drug Courts Program Office and the former Corrections Program Office.

Bureau of Justice Statistics (BJS). Established by the Omnibus Crime Control & Safe Streets Act of 1968 § 302, the BJS collects and analyzes statistical data on crime and the operations of justice systems at all levels of government. It also provides financial and technical support to state governments in developing their capabilities in criminal justice statistics, improving criminal history records, and implementing crime identification technology systems.

National Institute of Justice (NIJ). Established by the Omnibus Crime Control & Safe Streets Act of 1968 § 202, the NIJ supports research and development programs, conducts demonstrations of innovative approaches to improve criminal justice, develops and tests new criminal justice technologies, evaluates the effectiveness of justice programs, and disseminates research findings to practitioners and policymakers. The NIJ also provides primary support for the National Criminal Justice Reference Service, a clearinghouse of criminal justice-related publications, articles, videotapes, and online information.

Office of Juvenile Justice and Delinquency Prevention (OJJDP). Established by the Juvenile Justice & Delinquency Prevention Act of 1974 § 201, the OJJDP provides award funding to improve juvenile justice systems and sponsors innovative research, demonstration, evaluation, statistics, and technical assistance and training programs to improve the nation's understanding of and response to juvenile violence and delinquency.

Office for Victims of Crime (OVC). Established by the Victims of Crime Act of 1984 § 1411, the OVC provides funding to states to support programs that provide direct assistance to crime victims and compensate them for medical and other unreimbursed expenses resulting from violent crimes. The OVC also sponsors training for state, and local criminal justice officials

and other professionals to help improve their response to crime victims and their families.

PROGRAM OFFICES

Office of the Police Corps and Law Enforcement Education (OPCLEE).

The OPCLEE was created by the Violent Crime Control and Law Enforcement Act of 1994, but was first established in the Office of Community Oriented Policing Services (COPS). In 1998, the OPCLEE was transferred to the OJP. OPCLEE provides educational assistance to college students who commit to public service, and to dependent children of officers killed in the line of duty.

Community Capacity Development Office (CCDO). Established in 2004 by the OJP, the CCDO assists communities by empowering them to solve local problems through crime prevention, increasing community safety, and revitalizing neighborhoods. The CCDO also includes the Office of Weed and Seed and the American Indian and Alaskan Native Affairs Desk.

SUPPORT OFFICES

Office for Civil Rights (OCR). The OCR is responsible for ensuring that recipients of financial assistance from OJP, its component organizations, and the BJA are not engaged in prohibited forms of discrimination. The OCR ensures that potential and existing grantees fully comply with all civil rights laws and regulations so that needed federal assistance may commence or continue.

Office of General Counsel (OGC). The OGC provides legal advice and guidance to the OJP and its component bureaus.

Office of Communications (OCOM). The OCOM is a key point of contact for the OJP. Its primary responsibilities include working with congressional members, committees, and their staff on legislation, policies, and issues affecting the OJP and its Bureaus and Program offices. The OCOM also apprises Congress, the criminal justice community, the news media, and the public about OJP activities, through such means as tracking legislation; managing correspondence; maintaining a portfolio of speeches and testimony given by OJP and other Department of Justice officials; and by preparing briefing books and papers for congressional hearings, and other reports.

Office of the Chief Information Officer. This support office provides automated systems development and support and network integration for the OJP.

Office of Management and Administration. This support office oversees (1) the Office of Administration (except the Information Resources Management Division); (2) the Office of Budget and Management Services; (3) the Office of the Comptroller; and (4) the Equal Employment Opportunity Office.

Office of Administration (OA). The OA serves as the principal advisor to the Assistant Attorney General for OJP on matters involving human resources recruitment and management; labor relations; contracting and procurement; property and space management; and the maintenance, safety, and security of facilities.

Office of Budget and Management Services (OBMS). The OBMS directs, coordinates, and prepares the OJP's annual budget requests to Congress, the Office of Management and Budget, and the Department of Justice. Following annual appropriations, the OBMS allocates and tracks all OJP funds, maintaining control of agency obligations, including grants, payments, agreements, and contracts. In addition, the OBMS works with the OJP bureaus and offices to implement the National Performance Review, the Federal Managers' Financial Integrity Act, the Government Performance and Results Act, as well as other initiatives. Through its Executive Secretariat Staff, the OBMS also manages OJP's correspondence control system and provides advice and assistance to OJP components.

Office of the Comptroller (OC). The OC is the principal advisor to the Assistant Attorney General for the OJP on matters involving fiscal policy guidance and control. The OC also supports accounting, financial and grants management, and claims collection services. The OC is comprised of four divisions responsible for providing support services for the offices and bureaus that comprise OJP. The four divisions are the: (1) Financial Management Division, (2) Accounting Division, (3) Monitoring Division, and (4) Training and Policy Division.

Equal Employment Opportunity Office (EEO). The EEO office is responsible for ensuring that the OJP provides equal employment opportunity for all employees and applicants on the basis of merit and without regard to race, color, religion, sex, age, national origin, sexual orientation, and physical or mental disability.

DESCRIPTIONS OF MAJOR GRANTS AWARDED
BY THE OFFICE OF JUSTICE PROGRAMS

BUREAUS

BUREAU OF JUSTICE ASSISTANCE (BJA)

Public Safety Officers' Benefits Program. The purpose of this program is to provide a death benefit to: (1) eligible survivors of federal, state or local public safety officers whose death is the direct and proximate result of a personal (traumatic) injury sustained in the line of duty, and (2) public safety officers who have been permanently and totally disabled as the direct result of a catastrophic personal injury sustained in the line of duty.

Emergency Federal Law Enforcement Assistance. The purpose of this program is to provide necessary assistance to a state government in order to allow for an adequate response to an uncommon situation which requires law enforcement, which is or threatens to become of serious or epidemic proportions, and with respect to which state and local resources are inadequate to protect the lives and property of citizens, or to enforce the criminal law.

Federal Surplus Property Transfer Program. The purpose of this program is to transfer or convey to state and local governments and territories, at no cost, surplus real and related personal property determined by the Attorney General to be required for correctional facility or law enforcement use for programs or projects for the care or rehabilitation of criminal offenders, as approved by the Attorney General.

Byrne Formula Grant Program. The purpose of this program is to reduce and prevent illegal drug activity, crime, and violence and to improve the functioning of the criminal justice system.

Edward Byrne Memorial State and Local Law Enforcement Assistance Discretionary Grants Program (Discretionary Drug and Criminal Justice Assistance Program). The purpose of this program is to provide leadership and direction in controlling the use and availability of illegal drugs and to improve the functioning of the criminal justice system, with emphasis on violent crime and serious offenders.

Local Law Enforcement Block Grants Program. The purpose of this program is to provide funds to units of local government for the purposes of

reducing crime and improving public safety. Funds may be used for one or more of seven program purpose areas. Funds or a portion thereof may also be used to contract with private, non-profit entities or community-based organizations to carry out the purposes of this Block Grants Program. BJA will also make awards to states based on the allocation formula specified in the applicable legislation.

Motor Vehicle Theft Protection Act Program (Watch Your Car). The purpose of this program is to develop, in cooperation with the states, a national voluntary motor vehicle theft prevention program. The national "Watch Your Car" program is designed as a cooperative initiative between the states, local governments, and the U.S. Department of Justice, Bureau of Justice Assistance. It allows owners of motor vehicles to voluntarily display a decal or device on their vehicles to alert police that their vehicle is not normally driven between the hours of 1:00 a.m. and 5:00 a.m. Motorists may also choose to display another decal or device to signify their vehicle is not normally driven across or in the proximity of international land borders or ports.

State Identification Systems (SIS) Grant Program. The purpose of this program is to provide federal assistance to states to establish, develop, update, or upgrade: (1) computerized identification systems that are compatible and integrated with the database of the FBI's National Crime Information Center (NCIC); (2) the capability to analyze DNA in a forensic laboratory in ways that are compatible with the FBI's combined DNA Identification Systems (CODIS); and (3) automated fingerprint identification systems that are compatible and integrated with the FBI's Integrated Automation Fingerprint Identification System (IAFIS).

State Criminal Alien Assistance Program (SCAAP). The purpose of this program is to provide federal assistance to states and units of local government incurring costs of incarcerating illegal aliens convicted of one felony or two misdemeanor offenses and to expedite the transfer of custody for certain deportable aliens.

The Bulletproof Vest Partnership Program. The purpose of this program is to protect the lives of law enforcement officers by helping state, local, and tribal law enforcement agencies provide officers with armored vests.

Tribal Court Assistance Program. The purpose of this program is to assist tribal governments in the development, enhancement, and continuing operation of tribal judicial systems, including inter-tribal court systems.

Planning, Implementing, and Enhancing Strategies in Community Prosecution. The purpose of this program is to emphasize the participation of community leaders and residents in developing strategies for public safety with prosecutors and other community justice system officials. The program serves as a mechanism for community participation that allows communities to identify local priorities and engage in problem solving and strategic planning, as well as regular communication between the prosecutor's office and community residents. In addition, the program helps develop a proactive orientation to crime control, emphasizing prevention and enforcement.

Regional Information Sharing Systems Grants (RISS). The purpose of this program is to enhance the ability of the state and local criminal justice agencies to identify, target, and remove criminal conspiracies and activities that span jurisdictional boundaries. The first objective of the RISS is to encourage and facilitate the rapid exchange and sharing of information among federal, state, and local law enforcement agencies pertaining to known or suspected criminals or criminal activity. The second objective is to enhance coordination and communication among agencies that are in pursuit of criminal conspiracies determined to be inter-jurisdictional in nature. In addition, the RISS Program may provide technical and financial resources, such as specialized equipment, training, and investigative funds, to augment existing multi-jurisdictional enforcement resources and operations.

Closed-Circuit Televising of Child Victims of Abuse (CCTV). The purpose of this program is to provide equipment and personnel training for the closed-circuit televising and videotaping of the testimony of children in criminal proceedings for the violation of laws relating to the abuse of children.

National White Collar Crime Center (NWCCC). The purpose of this program is to provide a nationwide support system for the prevention, investigation, and prosecution of economic crime. The NWCCC links criminal justice agencies across jurisdictional borders and bridges the gap between local and state criminal justice agency economic crime-fighting capabilities and the minimum threshold for federal investigation and intervention. The NWCCC provides support for the prevention, investigation, and prosecution of economic crime through a combination of research, training, and investigative support services. The NWCCC also hosts the National Cyber crime Training partnership, which provides training to state and local law enforcement and prosecutorial agencies in how to respond successfully to computer-related crime.

Scams Targeting the Elderly. The purpose of this program is to reduce the incidence of fraud and abuse against the elderly through Technical Assistance and Training programs, demonstration sites, public awareness initiatives, and reporting of fraud to the National Fraud Information Center.

State and Local Anti-Terrorism Training (SLATT). The purpose of this program is to provide delivery of specialized, multiagency anti-terrorism preparedness training. This training, along with related research, law enforcement intelligence, operational issues development, and technical assistance support activities, is delivered to state and local law enforcement and prosecution authorities. While state and local law enforcement preparation and readiness issues addressed in this project are tailored to interventions in domestic terrorism, major portions of the program's preparedness and operational readiness outcomes are equally applicable to any terrorist threat or incident, whether domestically or internationally inspired.

Public Safety Officers' Educational Assistance (PSOEA). The purpose of this program is to provide financial assistance for higher education to the spouses and children of public safety officers killed in the line of duty or who received permanent and totally disabling injuries that occurred on or after October 1, 1997.

BJA - DRUG COURTS PROGRAM OFFICE (DCPO)³⁹

Drug Court Discretionary Grant Program (Drug Court Program). The purpose of this program is to support the establishment and development of drug courts, including those that give special attention to alcohol and drug problems, for example, driving under the influence or driving while intoxicated.

BJA - CORRECTIONS PROGRAM OFFICE (CPO)

Violent Offender Incarceration and Truth in Sentencing Incentive Grants (Prison Grants). The purpose of this program is to provide funds to individual states and to states organized as regional compacts to build or expand: (1) correctional facilities to increase the bed capacity for the confinement of violent offenders; (2) temporary or permanent correctional facilities including facilities on military bases, prison barges and boot camps for the confinement of non-violent offenders for the purpose of freeing prison space for violent offenders; and (3) jails.

³⁹ Under the recent reorganization of the OJP, this office was moved under the BJA.

Residential Substance Abuse Treatment for State Prisoners (RSAT).

The purpose of this program is to assist states and units of local government in developing and implementing residential substance abuse treatment programs within state and local correctional facilities in which prisoners are incarcerated for a period of time sufficient to permit substance abuse treatment.

Prevention, Diagnosis, and Treatment of Tuberculosis in Correctional Institutions.

The purpose of this program is to assist states, units of local government, and Indian tribal authorities in establishing and operating programs for the prevention, diagnosis, treatment, and follow-up care of tuberculosis among inmates of correctional institutions.

Correctional Grant Program for Indian Tribes. The purpose of this program is to assist Indian tribes with the construction of jails on tribal lands for the incarceration of offenders subject to tribal jurisdiction.

OFFICE OF JUVENILE JUSTICE AND DELINQUENCY PREVENTION (OJJDP)

Juvenile Accountability Incentive Block Grants Program (JAIBG).

The purpose of this program is to: (1) provide funds to develop programs to promote greater accountability in the juvenile justice system, (2) survey the field and identify projects that would benefit from research, demonstration, and evaluation in the 12 purpose areas identified in the JAIBG Program, and (3) provide Technical Assistance and Training to states and units of local government so they may develop programs outlined in the 12 program areas to promote greater accountability in the juvenile justice system.

Juvenile Justice and Delinquency Prevention - Allocation to States.

The purpose of this program is to increase the capacity of state and local governments to support the development of more effective education, training, research, prevention, diversion, treatment, accountability-based sanctions, and rehabilitation programs in the area of juvenile delinquency and programs to improve the juvenile justice system.

Juvenile Justice and Delinquency Prevention - Special Emphasis (Program Grants and Discretionary Grants).

The purpose of this program is to develop and implement programs that design, test, and demonstrate effective approaches, techniques and methods for preventing and controlling juvenile delinquency, such as: community-based alternatives to institutional confinement; developing and implementing effective means of diverting juveniles from the traditional juvenile justice system; programs stressing advocacy activities aimed at improving services

to youth impacted by the juvenile justice system; model programs to strengthen and maintain the family unit including self-help programs; prevention and treatment programs relating to juveniles who commit serious crimes; programs to prevent hate crimes; programs to provide aftercare and reintegration services; and programs to prevent youth gun and gang violence.

National Institute for Juvenile Justice and Delinquency Prevention.

The purpose of this program is to encourage, coordinate, and conduct research and evaluation of juvenile justice and delinquency prevention activities; to provide for public and private agencies, institutions, justice system agencies, a clearinghouse and information center for collecting, disseminating, publishing, and distributing information on juvenile delinquency; to conduct national training programs of juvenile related issues, and provide technical assistance and training to federal, state, and local governments, courts, corrections, law enforcement, probation, public and private agencies, institutions, and individuals, in the planning, establishment, funding, operation, or evaluation of juvenile delinquency programs.

Missing Children's Assistance. The purpose of this program is to:

- (1) coordinate and support federal activities concerning research, training, technical assistance, and demonstration programs to enhance the overall response to missing and exploited children and their families; and
- (2) establish and maintain a national resource center and clearinghouse dedicated to issues concerning missing and exploited children; (3) conduct national incidence studies to determine the type and extent of missing children in America; (4) support law enforcement demonstration programs (for example, the Internet Crimes Against Children Task Force Program) to enhance the investigative response to cases concerning missing and exploited children; (5) support research to broaden understanding of a wide range of issues concerning missing and exploited children (for example, abduction homicide investigation solvability factors), and to inform Technical Assistance and Training efforts and identify promising practices and programs for replication; (6) develop training programs for law enforcement, child protective services, medical personnel, and prosecutors to enhance coordination and effectiveness of investigations concerning missing and exploited children, and to enhance the overall system response; (7) identify service gaps and develop programs to meet specialized needs of parents or guardians of children who are reported missing; (8) provide a national central registry and toll-free hotline service to assist community organizations and law enforcement personnel to identify and return adults suffering from Alzheimer's disease who have wandered from home; and
- (9) provide training, technical assistance, and publications to enhance

community-wide responses to wandering incidents by memory-impaired adults.

Gang-Free Schools and Communities – Community-Based Gang

Intervention. The purpose of this program is to: (1) prevent and to reduce the participation of juveniles in the activities of gangs who commit crimes; (2) develop within the juvenile adjudicator and correctional systems new and innovative means to address the problems of juveniles convicted of serious drug-related and gang-related offenses; (3) provide treatment to juveniles who are members of such gangs, including those members who are accused of committing a serious crime and who have been adjudicated as being delinquent; (4) promote the involvement of juveniles in lawful activities in geographical areas in which gangs commit crimes; (5) promote and support, with the cooperation of community-based organizations experienced in providing services to juveniles engaged in gang-related activities and cooperation of local law enforcement agencies, the development of policies and activities in public elementary and secondary schools which will assist such schools in maintaining a safe environment conducive to learning; (6) assist juveniles who are, or may become, members of gangs to obtain appropriate educational instruction, in or outside a regular school program, including the provision of counseling and other services to promote and support the continued participation of such juveniles in such instructional programs; (7) expand the availability of prevention and treatment services relating to the illegal use of controlled substances and controlled substances analogues by juveniles, provided through state and local health and social services agencies; (8) provide services to prevent juveniles from coming into contact with the juvenile justice system again as a result of gang-related activity; (9) provide services at a special location in a school or housing project; and (10) facilitate coordination and cooperation among local education, juvenile justice, employment, and social service agencies; and community-based programs with a proven record of effectively providing intervention services to juvenile gang members for the purpose of reducing their participation in illegal gang activities.

Victims of Child Abuse. The purpose of this program is to: (1) develop model technical assistance and training programs to improve the courts' handling of child abuse and neglect cases; (2) facilitate the adoption of laws to protect children against the potential second assault of the courtroom proceeding; (3) address the present situation in which many states have adopted innovative procedures that have far outpaced federal law, leaving those children who do enter the federal system inadequately protected; (4) address the inconsistency and disparity among state laws on child abuse; (5) train criminal justice system personnel on up-to-date, innovative

techniques for investigating and prosecuting child abuse cases; (6) promote a multidisciplinary approach to coordinating the investigations and prosecution of child abuse cases and, thereby, limiting the number of pre-trial interviews a child must go through as well as better assure the accuracy of each interview; and (7) increase the number of communities making use of a Children's Advocacy Center approach to the investigation, prosecution and treatment of child abuse cases.

Title V Delinquency Prevention Program. The purpose of this program is to increase the capacity of state and local governments to support the development of more effective prevention programs to improve the juvenile justice system through risk and protective factor-focused programming approach.

Part E State Challenge Activities (Challenge Grants). The purpose of this program is to provide incentives for states participating in the Formula Grants Program to develop, adopt, and approve policies and programs in one or more of 10 specified challenge activities to improve the state's juvenile justice system.

Juvenile Mentoring Program (JUMP). The purpose of this program is to reduce juvenile delinquency and gang participation, improve academic performance, and reduce the dropout rate through the use of mentors for at-risk youth.

Enforcing Underage Drinking Laws Program. The purpose of this program is to support and enhance efforts by states, in cooperation with local jurisdictions, to enforce underage drinking by prohibiting the sale or consumption of alcoholic beverages by minors.

Drug Prevention Program. The purpose of this program is to reduce drug use by encouraging the promotion of multiple approaches including replicating the Life Skills Training (drug prevention) program, and educating and motivating adolescents to pursue healthy lifestyles and fostering interpersonal and decision-making skills, which will help them choose alternatives to high risk behaviors.

Drug-Free Communities Support Program Grants. The purpose of this program is to: (1) increase the capacity of community coalitions to reduce substance abuse among youth, and over time, to reduce substance abuse among adults through strengthening collaboration among communities, and public and private entities; and (2) disseminate state-of-the-art information on practices and initiatives that have proven to be effective in reducing substance abuse among youth.

Reduction and Prevention of Children's Exposure to Violence (Safe Start). The purpose of this program is to develop a demonstration initiative to prevent and reduce the impact of family and community violence on young children (primarily from birth to six years of age) by helping communities to expand existing partnerships between service providers (such as law enforcement, mental health, health, early childhood education and others) to create a comprehensive service delivery system.

Tribal Youth Program. The purpose of this program is to support and enhance tribal efforts for comprehensive delinquency prevention, control, and juvenile justice system improvement for Native American youth.

National Evaluation of the Safe Schools - Healthy Student Initiative. The purpose of this program is to conduct an evaluation of the Safe Schools/Healthy Students Initiative.

BUREAU OF JUSTICE STATISTICS (BJS)

State Justice Statistics Program for Statistical Analysis Centers (SACs). The purpose of this program is to provide financial and technical assistance to state governments for the establishment and operation of Statistical Analysis Centers (SACs) to collect, analyze, and disseminate justice statistics.

National Criminal History Improvement Program (NCHIP). The purpose of this program is to: (1) enhance the quality and completeness of the nation's criminal history record systems; (2) provide financial and technical assistance to states for the establishment or improvement of computerized criminal history record systems, and in their efforts to collect data on stalking and domestic violence; (3) improve data accessibility and support data transmissions to the national system, which will permit the immediate identification of persons who are prohibited from purchasing firearms, are subject to domestic violence protective orders, or are ineligible to hold positions of responsibility involving children, the elderly, or the disabled; (4) support the development of accurate and complete state sex offender identification and registration systems which interface with the FBI's Sex Offender Registry and meet applicable federal and state requirements; (5) develop and improve the processes for identifying, classifying, collecting, and entering data regarding stalking and domestic violence into local, state, and national crime information databases; and (6) ensure that criminal justice systems are designed, implemented or upgraded to be compliant, where applicable, with the FBI-operated National Instant Criminal Background Check System, and the Interstate Automated Fingerprint Identification System; meet other applicable statewide or

regional criminal justice information sharing standards and plans; and build upon ongoing efforts to support the wide range of technology-based, criminal justice information, identification, and communications needs identified by the states.

National Incident Based Reporting System (NIBRS). The purpose of this program is to allow state and local jurisdictions to capture detailed offense, offender, victim, property, and arrest information. NIBRS moves beyond aggregate statistics and raw counts of crimes and arrests that comprise the summary Uniform Crime Reports program to individual records for each reported crime incident and its associated arrest.

NATIONAL INSTITUTE OF JUSTICE (NIJ)

Justice Research, Evaluation, and Development Project Grants. The purpose of this program is to encourage and support research, development, and evaluation in order to further understanding of the causes and correlates of crime and violence, the methods of crime prevention and control, and the criminal justice system responses to crime and violence, and to contribute to the improvement of the criminal justice system and its responses to crime, violence, and delinquency.

National Institute of Justice Visiting Fellowships. The purpose of this program is to provide opportunities for experienced criminal justice practitioners and researchers to pursue projects aimed at improved understanding of crime, delinquency, and criminal justice administration by sponsoring research projects of their own creation and design.

Criminal Justice Research and Development - Graduate Research Fellowship Program. The purpose of this program is to improve the quality and quantity of knowledge about crime and the criminal justice system, while, at the same time, to help increase the number of persons who are qualified to teach in collegiate criminal justice programs, conduct research related to criminal justice issues, and perform more effectively within the criminal justice system.

Corrections and Law Enforcement Family Support. The purpose of this program is to: (1) research the effects of stress on law enforcement and correctional personnel and their families and disseminate the findings; (2) identify and evaluate model programs that provide support services to law enforcement correctional personnel and their families; (3) provide technical assistance and training programs to develop stress reduction and family support programs to state and local law enforcement and correctional agencies; (4) collect and disseminate information regarding family support,

stress reduction, and psychological services to state and local law enforcement and correctional organizations and other interested parties; and (5) determine issues to be researched by the Department of Justice and grant recipients.

Crime Laboratory Improvement-Combined Offender DNA Index System Backlog Reduction. The purpose of this program is to increase the capabilities and capacity of state and local crime laboratories in the United States to conduct state-of-the-art forensic evidence testing and to reduce the backlog of convicted offender DNA samples.

National Institute of Justice Domestic Anti-Terrorism Technology Development Program. The purpose of this program is to support the development of counter-terrorism technologies, assist in the development of standards for those technologies, and work with state and local jurisdictions to identify particular areas of vulnerability to terrorist acts, and to be better prepared to respond if such acts occur.

OFFICE FOR VICTIMS OF CRIME (OVC)

Crime Victim Assistance. The purpose of this program is to provide compensation and assistance to: (1) residents, who while outside of the U.S. become a victim of a terrorist act or mass violence; (2) eligible state programs to provide emergency relief, including crisis response efforts, training, and technical assistance for the benefit of victims of terrorist acts or mass violence occurring within the United States; and (3) U.S. Attorney's Offices for use in coordination with state victim-compensation and assistance efforts in providing emergency relief.

Crime Victim Compensation. The purpose of this program is to provide funds to states for awards of compensation benefits to crime victims.

Crime Victim Assistance/Discretionary Grants. The purpose of this program is to provide funds for: (1) demonstration projects and technical assistance and training services to eligible crime-victims assistance programs; (2) financial support of services to victims of federal crime by eligible crime-victim assistance programs; and (3) other support following cases of terrorism or mass violence.

Children's Justice Act Discretionary Grants for Native Americans (Children's Justice Act Partnership for Native American Indian Tribes). The purpose of this program is to assist tribes in developing, establishing, and operating programs designed to improve the handling of child abuse cases, particularly cases of child sexual abuse, in a manner

which limits additional trauma to the child and improves the investigation and prosecution of cases of child abuse.

PROGRAM OFFICES

OFFICE OF THE POLICE CORPS AND LAW ENFORCEMENT EDUCATION (OPCLEE)

Police Corps and Law Enforcement Officers Training and Education.

The purpose of this program is to address violent crime by increasing the number of police with advanced education assigned to community patrol in areas of great need, and to provide educational assistance to students who possess a sincere interest in public service through law enforcement and to law enforcement personnel. This program also offers no-obligation college scholarships to children of law enforcement officers killed in the line of duty.

- The **Training for Juvenile Detention Center Care-Givers Project** provides detention centerline personnel with training specific to their needs. New curriculum materials are being developed along with a Desktop Guide to Detention. The project is available through OJJDP.

Multi-jurisdictional Initiatives, Task Forces, and Complex Financial Investigations. These categories include a variety of grant programs.

- The **Multi-Agency Response Training Project** supports the Organized Crime/ Narcotics program, Financial Investigation (FINVEST) projects, and multi-agency task forces funded at the state and local levels. Regional training is available through the BJA.
- Since 1994, **Multi-jurisdictional Weed and Seed Sites** have been allowed to apply for discretionary grant funding. Multi-jurisdictional sites contain multiple target neighborhoods or areas located in two or more jurisdictions.
- **Asset Forfeiture Training for Prosecutors and Financial Investigators** facilitates the effective implementation of state forfeiture statutes. Forfeiture ethics, policy, and management are addressed. Although training courses are no longer available, state and local agencies may obtain copies of a model curriculum and video from the BJA to be used to conduct training within states.

Research, Evaluation, Information Systems, and Technology. These categories also include a variety of grant programs.

- The **BJA-State Reporting and Evaluation Program** provides technical assistance and training on the performance, monitoring, assessment, and evaluation of state criminal justice programs.
- The **Operational Systems Support Training and Technical Assistance Program** strives to improve general knowledge and understanding of criminal justice information management, while enhancing the effectiveness and efficiency of state and local practitioners through technology. The (SEARCH Group) National Criminal Justice Computer Laboratory and Training Center conducts in-house, hands-on training, as well as regional outreach training throughout the United States. The services are available through the BJA.
- The OJJDP's **Technical Assistance Support Program** for state agencies implementing the Part B Formula Grants Program makes technical assistance available to states in developing their research, training, and evaluation capacity.
- The **NIJ National Law Enforcement and Corrections Technology Center** in Rockville, MD, provides criminal justice professionals with information on available technology, on guidelines/standards for these technologies, and technical assistance in implementing these technologies. The center compiles and computerizes information on which manufacturers are producing law-enforcement related products and what those products are; what equipment law enforcement agencies are using; and which agencies have special equipment or expertise that can be utilized on an as-needed basis. This program is expanding dramatically under the Technology Information Network (TIN) which will link this center to the regional centers in Rome, NY; Charleston, SC; Denver, CO; El Segundo, CA; and the Border Research and Technology Center in San Diego, CA.

The NIJ Office of Law Enforcement Commercialization (OLETC) at the National Technology Transfer Center (NTTC) in Wheeling, WV, is focused on making affordable, useful technologies for law enforcement. At present, the NTTC is moving technologies out of the federal and national laboratories to nationwide industry for development and manufacture. The OLETC allows industries interested in entering the law enforcement market to access technologies developed by the Departments of Defense, Energy, and

other federal research and development agencies and facilitates the transfer of other technologies to industry for law enforcement.

The NIJ Office of Law Enforcement Standards (OLES) at the National Institute of Standards and Technology in Gaithersburg, MD, develops performance standards for law-enforcement related equipment. Law enforcement at every level, but especially at the state and local level, look to this program to provide the standards and testing information they need to make wise equipment investments.

COMMUNITY CAPACITY DEVELOPMENT OFFICE (CCDO)

CCDO - Weed and Seed Program.⁴⁰ The purpose of this program is to implement nationwide a comprehensive, multi-disciplinary approach to combating violent crime, drug use, and gang activity in high crime neighborhoods. The goal is to "weed out" violence and drug activity in such neighborhoods, and then to "seed" the sites with a wide range of crime and drug prevention programs, human service resources, and neighborhood restoration activities to prevent crime from recurring. The strategy emphasizes the importance of a coordinated approach, bringing together federal, state and local government, the community, and the private sector to form a partnership to create a safe, drug-free environment.

⁴⁰ The Weed and Seed Program was placed under the new Community Capacity Development Office as part of the recent reorganization of the OJP.

ACRONYMS AND ABBREVIATIONS

BJA	Bureau of Justice Assistance
BJS	Bureau of Justice Statistics
CCDO	Community Capacity Development Office
CG	Comptroller General of the United States
EOWS	Executive Office for Weed and Seed
FSR	Financial Status Report
FBU	Funds to Better Use
GAO	Government Accountability Office
GAS	Government Auditing Standards
GPRA	Government Performance and Results Act
GMM	Grant Manager's Memorandum
GMS	Grants Management System
MB	Monitoring Branch, OC
NIJ	National Institute of Justice
OCR	Office for Civil Rights
OVC	Office for Victims of Crime
OBMS	Office of Budget and Management Services
OCOM	Office of Communications
OIG	Office of the Inspector General
OJP	Office of Justice Programs
OJJDP	Office of Juvenile Justice and Delinquency Prevention
OMA	Office of Management and Administration
OCIO	Office of the Chief Information Officer
OC	Office of the Comptroller
OGC	Office of the General Counsel
OPCLEE	Office of the Police Corps and Law Enforcement Education
PR	Progress Report
QC	Questioned Cost
QRB	Quality Review Branch, OC
TA & T	Technical Assistance and Training Program

APPENDIX X

**OFFICE OF JUSTICE PROGRAMS
TECHNICAL ASSISTANCE AND TRAINING GRANTS AUDITED
BJA**

Grants	Audit Report	
	Number	Dated
American Prosecutors' Research Institute (APRI) 2000-PP-CX-K001	GR-30-04-001	01/20/04
Search Group, Inc. 1999-MU-MU-0005	GR-90-04-001	12/23/03
National Council of Juvenile & Family Court Judges 98-MU-VX-K016	GR-90-04-003	01/30/04
National American Indian Court Judges Association 2000-IC-VX-0026	GR-60-04-001	12/23/03
Fund for the City of New York 98-DC-VX-K007	GR-70-04-002	01/09/04
Doe Fund, Inc. 2001-DD-BX-0055	GR-70-04-001	11/26/03
Strategic Information Technology Center Project (University of Arkansas) 1999-LD-VX-0001	GR-80-04-005	01/20/04
School Violence Resource Center (University of Arkansas) 2000-DD-VX-0026	GR-80-04-004	01/20/04
Inter-Tribal Integrated Justice Pilot Project (University of Arkansas) 2001-LD-BX-K005 Grantee's name withheld due to ongoing investigation	GR-80-04-003 To be issued	01/20/04

**OFFICE OF JUSTICE PROGRAMS
TECHNICAL ASSISTANCE AND TRAINING GRANTS AUDITED
OJJDP**

Grants	Audit Report	
	Number	Dated
National Center for Missing and Exploited Children 2000-MC-CX-K021	GR-30-04-002	01/20/04
Development Services Group, Inc. 1999-JB-VX-K001	GR-30-04-003	03/31/04
Florida Atlantic University - 95-JN-FX-0024	GR-40-04-004	02/19/04
Boys and Girls Clubs of America (BGCA), Inc. 98-JN-FX-0007	GR-40-04-005	03/25/04
Constitutional Rights Foundation 2001-JS-FX-008	GR-90-04-002	12/23/03
National Court Appointed Special Advocate Association -2002-CH-BX-K001	GR-90-04-004	01/30/04
Children's Advocacy Center for the Pikes Peak Region - 2001-MU-MU-K002	GR-60-04-002	12/30/03
Suffolk University - 1999-JS-FX-0001	GR-70-04-003	01/21/04
Children's Hospital - 2000-CI-FX-K001	GR-50-04-005	05/13/04
Fox Valley Technical College Missing Children's Assistance #1 - 98-MC-CX-K010	GR-50-04-001	12/02/03
Fox Valley Technical College Missing Children's Assistance #2 - 98-MC-CX-K003	GR-50-04-002	12/02/03

ADDITIONAL DETAILS ON GRANT-MONITORING ACTIVITIES

Monitoring by the Office of the Comptroller

The OC annually develops a risk-based monitoring plan that considers inherent programmatic and recipient risks.⁴¹ The OC applies the risk-based criteria to the universe of grants to develop a sample for each fiscal year's monitoring plan. The reviews conducted include both on-site and in-house work. According to OJP officials, the purpose of the in-house reviews is to provide as much of a comprehensive financial review as possible without going on-site.

The OC's Monitoring Division is comprised of two branches that conduct financial monitoring of grantees, provide on-site technical assistance to grantees and program offices, conduct audit follow-up, and perform reviews of the OJP financial administration and controls.

- The Quality Review Branch (QRB) conducts internal OJP and external grantee audit follow-up. As the OJP's Audit Liaison, the QRB coordinates Single Audit Act findings and recommendations on a Department wide basis. The QRB also: coordinates with the Office of Management and Budget (OMB) and other federal agencies in developing, modifying, and implementing government-wide audit-related rules and regulations; and, conducts internal quality control-based reviews to provide assurance that the OJP's assets are safeguarded and its financial management system conforms to government-wide internal control requirements under the Federal Managers Financial Integrity Act and the Chief Financial Officers Act.
- The Monitoring Branch (MB) provides external financial oversight of award recipients' financial operations through risk-based financial monitoring. The staff conducts nationwide on-site financial reviews of grantee organizations to assess financial systems and records, provides financial advice, and recommends changes in the grantee's financial policies and procedures.

⁴¹ Risk-based criteria include: grants with confidential funds; grants to Indian tribes; OJP discretionary grants of \$1 million; new grantees with discretionary grants; Local Law Enforcement Block Grants; randomly sampled grants; and, one-third of the formula/block grants. The OC excludes from its sample any grantee organizations that were subject to its other on-site financial monitoring, or to audit by the OIG during the last two years.

The MB also performs in-house reviews of various program and financial documents contained in the official grant files. These reviews are conducted to ensure that the official grant file is complete and the grant application, review, and award processes were properly conducted. The collective results are then available for analysis to identify activities within the OJP that can be improved.

The OC maintains the official grant files and is responsible for tracking the receipt of all grant documents. The OC receives the Progress Reports, files the original in the official grant file, and forwards a copy to the relevant bureau. The grant manager is responsible for the timely acceptance, review, and analysis of Progress Reports.

Monitoring by the Bureaus and Program Offices

The five bureaus and two program offices are also responsible for monitoring grantees and related activities, and documenting the results in the grant manager's program files and the OC's official grant files. The bureaus and program offices conduct monitoring to ensure:

- Compliance with relevant statutes, regulations, policies, and guidelines;
- Responsible oversight of awarded funds;
- Implementation of required programs, goals, objectives, tasks, products, timelines, and schedules;
- Identification of issues and problems that may impede grant implementation; and
- Adjustments required by the grantee as approved by the OJJDP and the BJA.

The grant managers' primary responsibility is project monitoring. Each grant manager prepares a monitoring plan or Grant Manager's Memorandum (GMM). The GMM is an evolving document used throughout the life of a grant to ensure that goals and objectives are being met and that activities and products are completed in a timely fashion. The level of monitoring required is based upon the stated monitoring plan in the GMM, which includes:

- An overview of the project;

- A detailed description of what type of activities the grantee plans to implement;
- A discussion of past monitoring activities and assessments, if the grant is a multi-year grant that is awarded yearly;
- An identification of monitoring activities to be performed for the current project period; and
- A discussion of the financial justification for the grant funds and of the cost-effectiveness evaluation of the application.

The OJP has given monitoring priority to sites in which problems have been identified, implementation has been problematic, or where the grantee has specifically requested technical or other assistance. In addition to on-site visits, grant managers conduct periodic desk reviews and monitor grants telephonically. Monitoring may also be conducted as part of conferences and cluster meetings with grantees.

Telephonic and/or e-mail monitoring is done to communicate time-sensitive information, or when on-site visits are not feasible. The Grant Manager compiles a list of issues and familiarizes him or herself with the objectives of the grant. The Grant Manager then arranges a scheduling of calls to project and grantee staff to document and resolve issues and/or assess the implementation status of a project, according to stated objectives and time lines.

Frequency of Monitoring

Federal grant management entails both program management and financial management. For the TA&T grants that we reviewed, these responsibilities were split between the OC, which is responsible for financial management, and the respective bureaus, which are responsible for program management. According to the OJP grant managers whom we interviewed, all grants are monitored to "some degree."

The number of times a grant manager conducts an on-site visit is determined by each bureau or program office and depends on problems encountered during the course of the grant, budget resources, and level of grant activity. The OJP's past practice, however, has encouraged grant managers to conduct one monitoring visit per fiscal year, if time and resources permit, and to require quarterly telephone conversations and desk monitoring activities. Each grant manager establishes a monitoring

schedule, which permits him or her to add issue-driven monitoring visits and technical assistance, if the need arises. The OJP management and grant managers stated that they attempt to identify projects that appear to need the most assistance (for example, grantees that have not previously received an OJP grant, and new planning grants) and prioritize travel schedules to include these sites.

GRANTEE RESPONSE



U.S. Department of Justice

Office of Justice Programs

Office of the Assistant Attorney General

Washington, D.C. 20531

SEP 22 2004

MEMORANDUM TO: Guy K. Zimmerman
Assistant Inspector General for Audit

FROM: Deborah J. Daniels *[Signature]*
Assistant Attorney General

SUBJECT: Draft Audit Report on Office of Justice Programs Technical Assistance and Training Program

This memorandum responds to the Office of the Inspector General's ("OIG's") draft audit report issued on August 23, 2004, regarding the Office of Justice Programs' ("OJP") administration of technical assistance and training grants. The draft report contains three recommendations and \$5.3 million in questioned costs.¹ In general, we agree with the draft report recommendations, and are fully committed to implementing corrective actions to strengthen our administration of all grants in our portfolio, which include the technical assistance and training grants you audited. However, the draft report did not accurately describe the status of a few ongoing OJP efforts to improve accountability.

Specifically, on page iii, the draft report notes that OJP's Grants Management System ("GMS") is not currently in widespread use among the OJP components and is not fully functional. To the contrary, since I mandated the use of GMS in January 2003, GMS has been in widespread use by all bureaus and program offices. All grant solicitations posted since January 31, 2003, were issued and processed in GMS. In addition, a number of other functionalities have been added to GMS, including progress reporting and programmatic reporting modules.

Also, the draft report includes \$5.3 million in questioned costs resulting from the OIG's audit of 21 technical assistance and training grants, and references two prior Government Accountability Office ("GAO") audits that included similar findings. As summarized in Attachment A, of the 15 grants where questioned costs were noted, \$197,114 in questioned costs have been closed. The Office of the Comptroller is working with the grant recipients to ensure that appropriate corrective actions are implemented to address the remaining questioned costs and recommendations. Likewise, as summarized in Attachment B, corrective action has been fully or partially implemented for the recommendations identified in the GAO audit reports.

¹ The questioned costs noted in the draft audit report were identified during 21 individual grant audits conducted on technical assistance and training grants awarded by BJA and OJJDP. The OIG identified findings and questioned costs for 15 of the 21 grants.

In addition, the draft report concludes that "OJP did not ... have specific requirements that grantees could follow in developing [performance or outcome] measures." As the audit referenced only grants awarded between 1995 and 2002, the auditors would not have been aware of my requirement, in early Calendar Year 2002, that all solicitations and grant awards require grantees to develop outcome measures. Thus, all grants awarded since that time have included this mandatory requirement.

For ease of review, the three recommendations included in the draft report are restated in bold, followed by our response to the recommendation.

1. ***We recommend that the OJP ensure that grant managers receive annual training on OJP's requirements governing the submission of timely and accurate reports, allowable costs, grant monitoring requirements, and grant closeout procedures.***

We agree with the recommendation. The Office of Justice Programs is committed to providing the training necessary to ensure that grant managers are adequately equipped to administer grants. Beginning in October 2004, the Office of the Comptroller ("OC") will conduct a series of training sessions for all grant managers that will include topics such as grantee reporting, allowable costs, monitoring, and grant closeout. In addition, in May 2004, OJP conducted in-house fraud awareness training for grant managers.

Bureau of Justice Assistance ("BJA"): Over the past 18 months, BJA's monitoring system has been revamped and improved significantly. The BJA Monitoring Guide was revised and updated and includes BJA's new monitoring protocol. An automated risk assessment tool, known as the Priority Monitoring Assessment, is currently being developed and will identify key factors associated with the performance and program compliance of a specific grantee and grant program. These factors describe the areas to consider when determining a grantee's performance and compliance. The tool determines which grants pose the highest risk and may need an on-site monitoring visit. Effective and timely assessments of the status, progress, and the performance of these grants are essential to ensure grant funds are provided to grantees that effectively achieve their goals and provide corrective action to grantees at risk for managing their grants in a manner inconsistent with the goals of BJA and requirements of the grant program. The Bureau of Justice Assistance will complete these assessments on an annual basis.

The Bureau of Justice Assistance has also developed checklists to capture critical information on performance and program compliance. The checklists capture information such as financial and programmatic compliance, progress and performance, civil rights compliance, and technical assistance needs. The post-monitoring report has been standardized and issues such as findings/recommendations, technical assistance needs, potential best practices, and significant observations must now be reported to the BJA Quality Assurance Manager and the Policy Office. The Policy Office will develop

training and technical assistance for BJA's grantees based on the information in the post-monitoring report.

In addition, BJA plans to train all BJA staff and managers on these performance requirements and protocols in early FY 2005. The training will cover topics such as the BJA monitoring documentation policies, roles and responsibilities of BJA staff relative to monitoring, monitoring plan development, and risk assessment. The final training curriculum and tools will be developed by October 31, 2004.

Office of Juvenile Justice and Delinquency Prevention ("OJJDP"): In response to past recommendations concerning grant monitoring, OJJDP conducted an internal assessment of the status of its monitoring activities. As a result of the assessment, in August 2002, OJJDP developed protocols and standard forms for grant administration. These protocols and standard forms are being used now by OJJDP staff; however, OJJDP recognizes the need for ongoing staff training on grant monitoring. In the past year, OJJDP implemented the practice of sending new staff to professional grant monitoring training conducted by Management Concepts, Inc. This training, consisting of a series of classes, covers all aspects of grant monitoring and the staff can move through the series over time. The first course in the series covers the basic elements of grant monitoring. OJJDP will assess whether there are staff members, particularly those monitoring training and technical assistance grants or contracts, who have not attended the grant monitoring classes and would benefit from it. The assessment will be completed by December 2004 and the training provided to those who need it by June 2005.

Eight OJJDP program managers attended the fraud training provided by OJP in FY 2004. OJJDP is committed to providing financial training to all grant managers and will require all grant managers to attend the financial training that will be provided by the OC in FY 2005. The grant managers will also require OJJDP grantees to attend the financial management training provided by OC in FY 2005.

2. *We recommend that the OJP ensure that the GMS is brought up to full functioning capacity as soon as possible and grant managers are trained to utilize this system.*

We agree with the recommendation. Since January 2003, GMS has been in widespread use by all bureaus and program offices. All grant solicitations posted since January 31, 2003, were issued and processed in GMS. The functionalities within GMS have increased dramatically over the last year, in particular the peer review, grant monitoring, progress reporting and subgrant reporting functionalities. In addition, in FY 2004, grantees began to submit their quarterly financial reports on line.

OJP is in the midst of streamlining several grant business processes that have not been automated in GMS. The goal is to automate efficient and uniform processes, rather than automate a cumbersome and outdated work flow. We expect the following remaining

GMS modules to be completed by the end of Fiscal Year 2005: Grant Adjustment Notices, Close Out, External User Administration, Financial Monitoring, and Payment Request Support Subsystem. As part of the implementation protocol for the deployment of new GMS modules, grant managers will receive appropriate training to utilize the system.

3. *We recommend that the OJP develop performance or outcome measures to assess the effectiveness of technical assistance and training grants.*

We agree with the recommendation. In January 2002, I required that performance measures be included in every grant award. Development of performance measures for all grants is an ongoing OJP-wide initiative. As part of our efforts, on September 23, 2004, OJP is sponsoring an in-house training on performance measures that will be facilitated by the United States Department of Agriculture Graduate School. The objective of the training is to help OJP staff understand the requirements of the Office of Management and Budget's June 2003 guidance, *Performance Measurement Challenges and Strategies*.

BJA: In coordination with the Office of Budget and Management Services ("OBMS") and the Institute for Law and Justice, BJA is developing performance measures for all BJA grants, including training and technical assistance grants. Performance measures were formally adopted for all competitively funded programs beginning with awards in FY 2003. BJA expects to assign appropriate performance measures to all training and technical assistance grants at the time of award in FY 2005.

Because grant progress reports are submitted semi-annually and Government Performance and Results Act ("GPRA") performance data is collected quarterly, it has been a challenge to incorporate performance measure data in the annual grant progress report. To address this issue, BJA is working on additional strategies for the collection and analysis of data. In FY 2004, BJA added a special condition for awards that requires quarterly reporting on training and technical assistance performance measures.

BJA instituted a training workshop on measuring performance to be given at all five BJA regional conferences for grantees that are scheduled in late FY 2004 and early FY 2005. Topics covered in this workshop will include GPRA, Outcome Measures, and the Program Assessment Rating Tool ("PART"). At my instruction, the concentration will be on outcome, as opposed to output, measures.

In addition, BJA has an evaluation website that state and local grantees can use to find useful resources for planning and implementing program evaluations and for developing program performance measures. Information on assessing program performance is available and covers topics such as identifying goals and objectives; measuring activities and outputs (Process Evaluation); measuring outcomes (Impact Evaluation); and

establishing the "activities-outcomes" connection (Evaluation Experiments). Program specific information is provided for programs such as drug courts, community justice, multijurisdictional task forces, reentry, and tribal courts. Topics covered include the challenges associated with conducting evaluations, commonly used performance measures, and how evaluation findings can be used for program development and improvement.

OJJDP: In coordination with OBMS and Caliber Associates, OJJDP is developing a standardized performance measurement system. While specific measures have been developed for certain OJJDP programs, performance measures will be included in all OJJDP grants at the time of award in FY 2005 and staff will be trained to monitor the performance measures by the close of FY 2005. OJJDP will work with training and technical assistance providers to set up mechanisms to evaluate the effectiveness of services, such as participant surveys and post-service follow-up. These mechanisms will be required as conditions of grant awards.

We appreciate the opportunity to comment on the draft report. If you have any questions, please feel free to contact me on 202-307-5933, or LeToya A. Johnson, OJP Audit Liaison, on 202-514-0692.

Attachments

cc: Beth McGarry
Senior Counsel to the Assistant Attorney General

Domingo R. Herraiz, Director
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J. Robert Flores, Administrator
Office of Juvenile Justice and Delinquency Prevention

Cynthia J. Schwimer
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Jill R. Meldon, Director
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LeToya A. Johnson
OJP Audit Liaison

OJP Executive Secretariat
Control No. 20041624

OIG Audit of
OJP Technical Assistance and Training Program
Selected Grants Used in Sample

No.	Regional Audit Office	Grant No.	Grantee	Program Office	No. of Recommendations	No. of Recommendations Closed	Total Questioned Costs/ Funds to Better Use	Total Questioned Costs Closed	Report Status
1		2000-PP-CX-K001	American Prosecutors Research Institute	BJA	None	N/A	N/A	N/A	Closed
2		2000-MC-CX-K021	National Center for Missing and Exploited Children	OJJDP	None	N/A	N/A	N/A	Closed
3	DC	1999-IB-VX-K001	Development Services Group, Inc.	OJJDP	None	N/A	N/A	N/A	Closed
4		95-JN-FX-0024	Florida Atlantic University	OJJDP	9	0	\$219,640	\$21,236	Revised
5	Atlanta	98-JN-FX-0007	Boys and Girls Clubs of America	OJJDP	7	0	\$437,885	\$0	Revised
6		1999-MU-MU-0005	Search Group, Inc.	BJA	2	2	\$29,802	\$29,802	Closed
7		98-MU-VX-K016	National Council for Juvenile & Family Court Judges	BJA	None	N/A	N/A	N/A	Closed
8		2002-CH-BX-K001	National Court Appointed Special Advocate Association	OJJDP	None	N/A	N/A	N/A	Closed
9	San Francisco	2001-JS-FX-0008	Constitutional Rights Foundation	OJJDP	None	N/A	N/A	N/A	Closed
10		2000-C-VX-0026	National American Indian Court Judges Association	BJA	8	1	\$31,321	\$5,231	Revised
11	Denver	2001-MU-MU-K002	Children's Advocacy Center for Five-Park Region	OJJDP	5	0	\$17,275	\$0	Revised
12		98-DC-VX-K007	Fund for the City of New York	BJA	3	1	\$24,032	\$0	Revised
13		2001-01-BX-0005	Doe Fund, Inc.	BJA	4	0	\$24,194	\$0	Revised
14	Philadelphia	1999-JS-FX-0001	Safarik University	OJJDP	4	0	\$24,194	\$0	Revised
15		Grant No. Withheld	Grantee Name Withheld - pending OIG investigation	N/A	N/A	N/A	\$3,562,480	N/A	Pending
16		2000-CH-FX-K001	Children's Hospital	OJJDP	5	1	\$361,694	\$0	Revised
17		98-MC-CX-K010	Fox Valley Technical College	OJJDP	6	3	\$777,050	\$124,191	Revised
18	Chicago	98-MC-CX-K003	Fox Valley Technical College	OJJDP	4	3	\$15,788	\$15,354	Revised
19		1999-LD-VX-0001	Criminal Justice Institute - National Center for Rural Law Enforcement	BJA	1	1	\$0	\$0	Closed
20		2000-00-VX-K006	Criminal Justice Institute - National Center for Rural Law Enforcement	BJA	2	0	\$0	\$0	Revised
21	Dallas	2001-LD-BX-K005	Criminal Justice Institute - National Center for Rural Law Enforcement	BJA	2	2	\$5,192,951	\$197,114	Closed

Bold = Denotes report recommendations and questioned costs are closed or report has not yet been issued by the ATOIG

Prepared by: Letoya Johnson
OJP Audit Liaison

No. of Audit Reports Closed	9
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CORRECTIVE ACTION PLAN

REPORT:	JUVENILE JUSTICE: Better Documentation of Discretionary Grant Monitoring Is Needed (GAO 02-65)					
RECOMMENDATION:	To facilitate and improve the management of program grant monitoring, we recommend that the Attorney General direct OJJDP, as part of its ongoing review of monitoring policies and practices, to determine whether the monitoring documentation problems we identified were an indication of grant monitoring requirements not being met or of a failure to document activities in the official grant file that did, in fact, take place.					
FINAL PRODUCT:	OJJDP implemented protocols and standard forms and incorporated work performance objectives into employee and supervisor performance plans.	TARGET DATES August 2002				
PROPOSED ACTIONS:	Milestones: OJJDP: <ul style="list-style-type: none"> • conducted an internal assessment of the status of its monitoring activities. June 2002 • established a working group to review the OJP Grants Management Policies and Procedures Manual to determine how the policies and procedures were implemented and whether additional details and information are required with respect to OJJDP programs. • developed OJJDP protocols and standard forms for grant administration and monitoring, which detailed standard time lines and prescribed responsibility for various grant administration and monitoring activities. August 2002 					
POINT OF CONTACT:	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td data-bbox="357 672 470 1113" style="text-align: center;">COMPONENT</td> <td data-bbox="357 1113 470 1631" style="text-align: center;">AUDIT LIAISON OFFICE</td> </tr> <tr> <td style="text-align: center;">Letoya A. Johnson, OJP Audit Liaison</td> <td style="text-align: center;">Richard P. Theis, Acting Director</td> </tr> </table>		COMPONENT	AUDIT LIAISON OFFICE	Letoya A. Johnson, OJP Audit Liaison	Richard P. Theis, Acting Director
COMPONENT	AUDIT LIAISON OFFICE					
Letoya A. Johnson, OJP Audit Liaison	Richard P. Theis, Acting Director					

CORRECTIVE ACTION PLAN

REPORT:	GRANTS MANAGEMENT: Despite Efforts to Improve Weed and Seed Program Management, Challenges Remain (GAO-04-245)	
RECOMMENDATION 1:	GAO recommends that the Attorney General of the United States require the Assistant Attorney General for OJP to ensure that the Executive Office for Weed and Seed fully implement the intent of their previous recommendations by taking steps to maintain the documentation of the basis and rationale for qualification and funding decisions in appropriate grant files.	
FINAL PRODUCT:	Centrally maintained official recognition files that will contain all documents supporting funding decisions and written procedures regarding file maintenance.	TARGET DATES
PROPOSED ACTIONS:	<p>Milestones:</p> <ul style="list-style-type: none"> • Program managers were directed on March 11, 2004 to forward a copy of all documents supporting funding decisions to the centrally maintained official recognition (OR) files. In addition, CCDO will develop a matrix for all grant applications files reviewed to track all supporting documents for grant funding by August 1, 2004 • Review Weed and Seed OR files for completeness by October 1, 2004 • Update CCDO's Policies and Procedures Manual to include written procedures regarding file maintenance by December 1, 2004. • Require program managers to review 10% of all Weed and Seed files for completeness each quarterly, beginning September 1, 2004. 	
POINT OF CONTACT:	COMPONENT	AUDIT LIAISON OFFICE
Name & Title:	LeToya A. Johnson, OJP Audit Liaison	Vickie L. Sloan, Director

CORRECTIVE ACTION PLAN

REPORT:	GRANTS MANAGEMENT: Despite Efforts to Improve Weed and Seed Program Management, Challenges Remain (GAO-04-245)	
RECOMMENDATION 2:	GAO recommends that the Attorney General of the United States require the Assistant Attorney General for OJP to ensure that the Executive Office for Weed and Seed fully implement the intent of their previous recommendations by taking steps to retain progress reports and site visit reports in official files.	
		TARGET DATES
FINAL PRODUCT:	Electronic submission of semi-annual progress reports will be required by all OJP grantees in GMS, beginning with the first reporting period in FY 2005. Develop Grant Monitoring Module in GMS to record and report on Program Manager's site visits and OC financial site visit reviews.	
PROPOSED ACTIONS:	<p>Milestones:</p> <ul style="list-style-type: none"> • Implement a progress reporting module in the grants management system (GMS) that will require all grantees to submit semi-annual progress reports electronically, beginning with the reporting period that ends on 12/31/04. • Develop and implement a Grant Monitoring Module that will enable OJP's program managers and Office of the Comptroller's (OC's) financial staff to record and report on site visits directly in GMS, by December 31, 2004. 	
POINT OF CONTACT:	COMPONENT	AUDIT LIAISON OFFICE
Name & Title:	Letoya A. Johnson, OJP Audit Liaison	Vickie L. Sloan, Director

CORRECTIVE ACTION PLAN

REPORT:	GRANTS MANAGEMENT: Despite Efforts to Improve Weed and Seed Program Management, Challenges Remain (GAO-04-245)
RECOMMENDATION 3:	GAO recommends that the Attorney General of the United States require the Assistant Attorney General for OJP to ensure that the Executive Office for Weed and Seed fully implement the intent of their previous recommendations by taking steps to clearly define criteria to assess when sites are self-sustaining and apply the criteria to sites when making further funding decisions.
FINAL PRODUCT:	Develop a plan to review in detail the sustainability efforts undertaken by Weed and Seed sites and develop new options for the pursuit of sustainability.
	<p align="center">TARGET DATES</p> <p align="right">11/30/04</p>

PROPOSED ACTIONS:

Milestones:

- Further define the criteria to assess when sites are self-sustaining, by September 30, 2004 and apply the criteria when making funding decisions. CCDO will develop a publication for existing Weed and Seed sites on alternative models for sustaining the Weed and Seed effort after the expiration of the OR status. 9/30/04

- Promote a "graduation" process to bring sites to sustainability, by November 30, 2004 and cease providing Weed and Seed funding to those sites. In the FY 2004 Competitive and Continuation Program Guides and Application Kits: 1) weighted criteria was added identifying those new sites who are leveraging funding sources at a level five times the CCDO core funding contribution; 2) sites are required to achieve certain goals by the end of each year, which will show sites the level at which they should be performing on an annual basis; 3) sites must list sources and estimated dollar amounts (non-CCDO) that will be contributed to implementing the Weed and Seed strategy; 11/30/04

- From focus groups convened in May and July 2004, will develop a plan to detail the sustainability efforts undertaken by Weed and Seed sites and develop new options for the pursuit of sustainability. 11/30/04

POINT OF CONTACT:	COMPONENT	AUDIT LIAISON OFFICE
Name & Title:	LeToya A. Johnson, OJP Audit Liaison	Vickie L. Sloan, Director

CORRECTIVE ACTION PLAN

REPORT:	GRANTS MANAGEMENT: Despite Efforts to Improve Weed and Seed Program Management, Challenges Remain (GAO-04-245)	
RECOMMENDATION 4:	GAO recommends that the Attorney General of the United States require the Assistant Attorney General for OJP to ensure that the Executive Office for Weed and Seed fully implement the intent of their previous recommendations by taking steps to develop outcome performance measures-or, where measuring outcome is, after careful consideration, deemed infeasible, intermediate measures-that can be used to adequately track progress toward program outcomes of the Weed and Seed program.	
FINAL PRODUCT:	Develop measures that will track progress toward program outcomes in the Weed and Seed program.	TARGET DATES
PROPOSED ACTIONS:	<p>Milestones:</p> <ul style="list-style-type: none"> Work with six US Attorney Offices around the country and a representative from the EOUSA to develop outcome performance measures for the Weed and Seed program. Discussions with the focus groups convened in May and July 2004, to develop outcome performance measures for the Weed and Seed program. 	
POINT OF CONTACT:	COMPONENT	AUDIT LIAISON OFFICE
Name & Title:	LeToya A. Johnson, OJP Audit Liaison	Vickie L. Sloan, Director

**OFFICE OF THE INSPECTOR GENERAL, AUDIT DIVISION,
ANALYSIS AND SUMMARY OF ACTIONS NECESSARY
TO CLOSE THE REPORT**

The OJP's response to the audit (Appendix XIII) describes the actions taken or plans for implementing our recommendations. This appendix summarizes our response and the actions necessary to close the report. In addition to responding to the recommendations, the OJP provided additional comments in their response to which we wish to respond.

The OJP states that the GMS system has been in widespread use since January 2003. We clarified our report to state that while the OJP has mandated that the GMS be used by its various components, several of the GMS modules were not fully operational during our audit period. Two examples of essential reports used by OJP to monitor a grantees progress that were not fully operational in the GMS during our audit period were the Progress Report and Financial Status Report (SF 269). The Progress Report Module was implemented in January 2004, but several grantees did not utilize the GMS to submit Progress Reports because they had grants that were awarded prior to the initial implementation of the GMS. Utilization of the SF 269 module to report actual grant expenditures quarterly will not be required until FY 2005.

Recommendation number:

1. **Resolved.** The OJP stated that it is committed to providing the training necessary to ensure that grant managers are adequately equipped to administer grants. Beginning in October 2004, the Office of the Comptroller (OC) will conduct a series of training sessions for all grant managers that will include topics such as grantee reporting, allowable costs, monitoring, and grant closeout.

The BJA indicated that its monitoring system has been revamped and improved significantly. The BJA Monitoring Guide has been revised and updated and outlines a new monitoring protocol. An automated risk assessment tool, known as the Priority Monitoring Assessment, is currently being developed and will identify key factors associated with the performance and program compliance of a specific grantee and grant program.

The BJA also plans to train all BJA staff and managers on these performance requirements and protocols in early FY 2005. The training will cover topics such as the BJA monitoring documentation policies, roles and responsibilities of BJA staff relative to monitoring, monitoring plan development, and risk assessment.

In August 2002, the OJJDP developed protocols and standard forms for grant administration. These protocols and standard forms are now being used by OJJDP staff. In the past year, the OJJDP implemented the practice of sending new staff to professional grant monitoring training. This training covers all aspects of grant monitoring. The OJJDP will also assess whether there are other staff members who have not attended the monitoring classes and who would benefit from this training.

The OJJDP also stated that it is committed to providing financial training to all grant managers and will require all of its grant managers to attend financial training that the OC will provide in FY 2005.

This recommendation can be closed when the OJP provides the OIG with the following documentation:

- The OC's schedules and agendas for its grant managers training sessions.
- The BJA's performance requirements and protocol training schedules and agendas for its grant managers and staff.
- The OJJDP's training needs assessment along with the projected plan and schedule for providing such training.

2. **Resolved.** The OJP stated that the functionalities within GMS have increased dramatically over the last year, in particular the peer review, grant monitoring, progress reporting and sub-grant reporting. The OJP is streamlining several grant business processes that have not been automated in the GMS. The OJP expects the following modules to be completed by the end of FY 2005: Grant Adjustment Notices, Close Out, External User Administration, Financial Monitoring, and Payment Request Support Subsystem. As part of implementation protocol for the deployment of new GMS modules, grant managers will receive appropriate training to utilize the system.

This recommendation can be closed when the OJP provides the OIG with documentation showing its schedule for completing and

implementing the remaining GMS modules and that grant managers are trained to utilize this system.

3. **Resolved.** The OJP stated that performance measures have been required in every grant award since January 2002 and that the development of performance measures for all grants is an ongoing OJP initiative. As part of its efforts, on September 23, 2004, the OJP sponsored in-house training on performance measures that was facilitated by the United States Department of Agriculture Graduate School. The objective of the training was to help OJP staff understand the requirements of the Office of Management and Budget's June 2003 guidance, Performance Measurement Challenges and Strategies.

In coordination with the OJP's Office of Budget and Management Services (OBMS) and the Institute for Law and Justice, the BJA is developing performance measures for all BJA grants. Performance measures were formally adopted for all competitively funded grants beginning with the FY 2003 awards.

The BJA has instituted a training workshop on measuring performance for the five BJA regional conferences for grantees that are scheduled in late FY 2004 and early FY 2005. Topics covered in this workshop will include GPRA, Outcome Measure, and the Program Assessment Rating Tool. The training will concentrate on outcome measures.

In coordination with the OBMS and Caliber Associates, the OJJDP is developing a standardized performance measurement system. Performance measures will be included in all OJJDP grants awarded in FY 2005. OJJDP's staff will be trained to monitor the performance measures by the end of FY 2005. The OJJDP indicated that it will work with the training and technical assistance providers to set up mechanisms to evaluate the effectiveness of services, such as participant surveys and post follow-up services. These mechanisms will require conditions of all grant awards.

This recommendation can be closed when the OJP provides the OIG with performance or outcome measures for TA&T grants.