



# **Juvenile Justice Fiscal Incentive Program (JJFIP)**

## **PROGRAM & FINANCIAL GUIDELINES AND INSTRUCTIONS**

**(10/2017)**

### **Kentucky Justice & Public Safety Cabinet Grants Management Branch**

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**KENTUCKY JUSTICE & PUBLIC SAFETY CABINET  
GRANTS MANAGEMENT BRANCH  
Juvenile Justice Fiscal Incentive Program (JJFIP)**

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**KENTUCKY JUSTICE & PUBLIC  
SAFETY CABINET GRANTS  
MANAGEMENT BRANCH  
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**Introduction:** KRS 15A.062 requires the Justice and Public Safety Cabinet to establish the Fiscal Incentive Program designed to support local efforts to enhance public safety and reduce juvenile justice system costs. It is the intent of the Commonwealth to maintain public safety and achieve savings through the use of evidence-based treatment programs and practices at the local level and to reinvest a portion of the savings achieved into community-based programs and services. The Administrative Office of the Courts shall act as the fiscal agent to receive funds awarded to a judicial district, provide technical assistance to the judicial districts in developing and writing its grant application, and collect and report data the judicial districts are required to report under the fiscal incentive program. The Justice and Public Safety Cabinet shall establish the incentive grant application and award process.

**Eligibility:** Applicants must be judicial districts or groups of judicial districts having established local committees as described in KRS 15A.062 (4)(a)(1). Local committees shall consist of local individuals or organizations, which may include judges, county attorneys, defense attorneys, educators, treatment providers, mental health or behavioral health providers, local officials, law enforcement, and other interested parties. The local committee may utilize an existing committee or be formed for the purpose of the grant application and implementation. All applications must be signed as “Have Reviewed and Agree” by all juvenile court judges in the applicant’s judicial district or group of judicial districts. Failure to obtain all judicial signatures will result in a disqualification of the grant application. Grant applications will be limited to one (1) per judicial district or groups of districts. Kentucky Judicial District Map: [KY Judicial Districts.pdf](#)

**Award Period:** Grants will initially be awarded for 18 months - January 1, 2018 through June 30, 2019. (Thereafter, will run fiscal year July 1, 2019 through June 30, 2020)

**Deadline:** November 17, 2017

**Award Amount:** \$900,000.00 will be awarded consistent with KRS 15A.062 (3)(a). Maximum award amount to any individual judicial district, or group of districts will be \$200,000.00 with a minimum award amount of \$10,000.00.

## **Overview and Purpose of the Juvenile Justice Fiscal Incentive Program:**

**Overview:** Senate Bill 200 (2014) became official legislation effective July 15, 2014. SB 200 provides for a more effective use of resources to hold youth accountable, achieve better outcomes for youth and their families, and maintain public safety. The provisions in the legislation were based on recommendations from the bi-partisan, inter-branch Unified Juvenile Code Task Force and extensive stakeholder input. The legislation seeks to improve outcomes in the juvenile justice system by expanding access to timely, quality treatment and supervision in the community, focusing the most important intensive resources on serious offenders, and enhancing data collection and oversight mechanisms to ensure the policies are working. As part of this legislation, the Fiscal Incentive Program was established in KRS 15A.062. As a result of the juvenile reform efforts, it is the intent of the Commonwealth to maintain public safety and achieve savings through the use of evidence-based treatment programs and practices at the local level and to reinvest a portion of the savings achieved into community-based programs and services. As a result of the reduction in youth population in the Department of Juvenile Justice, DJJ has realized \$4 million in savings. Twenty-five (25) percent of this savings - \$1 million – makes up the initial fiscal incentive fund. These funds will be used to fund local efforts that enhance public safety while reducing juvenile justice system costs. Ninety (90) percent of the funds shall be utilized for renewable, competitive grants to be awarded to judicial districts, or groups of judicial districts, for the purpose of establishing community-based services and treatment programs that provide alternatives to out-of-home placement. Ten (10) percent will be made available to judicial districts, or groups of judicial districts, not receiving funds under the ninety (90) percent, to fund individualized interventions on an occasional basis to avoid commitment to the Department of Juvenile Justice for a limited number of youth.

**Purpose:** The purpose of this grant opportunity is to award funding to local judicial districts, or groups of judicial districts, to establish community based services and treatment programs that provide alternatives to out-of-home placement. Applicants are encouraged to examine their local data from the previous fiscal years in order to understand the profiles of the youth who have been justice-involved and/or been placed in out-of-home programs, and who, with appropriate community-based services, could be served at home. Applicable data has been provided at Community Partner Meetings throughout the Commonwealth by the Administrative Office of the Courts and the Department of Juvenile Justice. Recipients of this grant opportunity will be employing evidence-based programming appropriate to the needs of youth in the community.

Bolstering a continuum of community support services and supervision has been shown to reduce recidivism, while promoting a positive relationship between youth, their families, and the community. Services may include, but not be limited to, family and community reintegration and prevention services, restorative justice programs, in-home/wraparound, afterschool/evening reporting, community work projects, basic life skills, job skills and employment training, job placement, educational support, as well as providing mentoring and apprenticeship opportunities.

**Statutory Program Purposes:**

**15A.062 Fiscal incentive program for local efforts to enhance public safety and reduce juvenile justice system costs:** [15A.062 to insert Statutory Program Purposes.pdf](#)

**Program Priorities:**

The design of the Fiscal Incentive Program focuses on the delivery of comprehensive strategies to support local efforts to enhance public safety and reduce juvenile justice system costs. Subrecipients shall seek to carry out strategies by forging lasting community partnerships with, but not limited to: The Department of Juvenile Justice, Administrative Office of the Courts, Cabinet for Health and Family Services, Local Schools and private entities serving children and families.

In shaping its strategies for the Fiscal Incentive Program funds, the Commonwealth of Kentucky seeks programs that:

- Uses evidence-based practices in program design;
- Reduces the use of commitments;
- Reduces the use of out-of-home placements;
- Reduces recidivism;
- Establishes or utilizes educational, vocational, substance abuse, behavior health, mental health, or family intervention services, and local alternatives to detention;
- Utilizes services that include, but are not limited to family and community reintegration and prevention services, restorative justice programs, in-home/wraparound, afterschool/ evening reporting, community work project, basic life skills, job skills and employment training, job placement, educational support as well as providing mentoring and apprenticeships opportunities.
- Supports a continuum of graduated responses (incentives and sanctions) in programs. Grants utilizing punitive sanctions, e.g. electric monitoring or physical discipline will not be considered; and
- Considers local Disproportionate Minority Contact (DMC) data and the impact it may have on the proposed programming/services.

**ADMINISTRATIVE REQUIREMENTS:**

Applicant eligibility must be met by all judicial districts that receive funds through the Fiscal Incentive Program. These funds are to be awarded for the purpose of establishing community-based services and treatment programs that provide alternatives to out-of-home placement. Each subrecipient shall meet the following requirements:

1. **APPLICANTS:** Applicants must be judicial districts or groups of judicial districts that have established local committees as defined by KRS 15A.062 (4)(a)(1). Local committees shall consist of local individuals or organizations, which may include judges, county attorneys, defense attorneys, educators, treatment providers, mental health or behavioral health providers, local officials, law enforcement, and other interested parties.

2. **JUDICIAL SIGNATURE PAGE:** Applications must contain a judicial signature page (to be scanned and uploaded to the attachments page on the application) on the letterhead, stating ALL juvenile court judges in the judicial district or group of districts have “reviewed and agree” to the grant application multiple letters may be uploaded if applicable.
3. **LIST OF COMMITTEE MEMBERS:** Application must contain a list of committee member names, as well as their role in the grant, employment agency, if applicable, and contact information. This document will be saved and uploaded into the eGMS for review.
4. Provide a baseline for calculating reductions for the competitive grant program beginning with 2013 data and progression through state fiscal year 2016 that combines commitment and detention admissions, and overrides of decisions to allow eligible cases to proceed to diversion. Please note: Applicants are encouraged to examine their local data from the previous fiscal years in order to understand the profiles of the youth who have been justice-involved and/or been placed in out-of-home programs, and who, with appropriate community-based services, could be served at home. Applicable data has been provided at Community Partner Meetings throughout the Commonwealth by the Administrative Office of the Courts and the Department of Juvenile Justice.
5. Committees/applicants must designate and identify a financial point of contact as well as a program point of contact to administer grant activities. The individual named as the financial point of contact must complete a financial management training conducted by the Administrative Office of the Courts in financial management in Frankfort, Kentucky, within the first 90 days after being notified of a grant award.
6. Judicial districts or groups of districts are limited to one application. Subrecipients are strongly encouraged to submit a proposal that serves all counties within the district or group of districts. The application must contain a description of how the proposed program collaborates with, at a minimum:
  - a. Schools;
  - b. The Administrative Office of the Courts;
  - c. The Cabinet for Health and Family Services;
  - d. Private entities serving children and families; and
  - e. The Department of Juvenile Justice.

The proposed program does not need to collaborate with all of the entities listed in 6(a)-(e). However, the applicant must describe how the proposed program collaborates with applicable entities and note the listed entities with which it does not collaborate.

## 7. VOLUNTEERS

- a. Adult volunteers must perform duties related to the grant project. Completion of criminal background checks by the Kentucky State Police and Central Registry Checks completed by Cabinet for Health and Family Services on potential

volunteers is required. Documentation is required for each volunteer including, but not limited to name, date of birth, address, contact number, email address, copy of criminal background check and central registry check, copy of photo ID.

- b. Youth volunteers must perform duties related to the grant project and cannot be used to replace full-time employees. Applicants and subrecipients may allow youth they serve to volunteer, but may not make volunteerism to the benefit of the applicant or subrecipient a condition precedent to the youth's receipt of services.

8. **COMPLY WITH STATE CRITERIA** – Applicants and subrecipients must abide by any additional eligibility or service criteria as established by the Kentucky Justice and Public Safety Cabinet, Office of Management and Administrative Services, Grants Management Branch, including submitting statistical and programmatic information on the use and impact of JJFIP funds. These additional criteria may be outlined in GMB Policies and Procedures, Grant Guidelines, and Special Conditions of the Application or Award.

9. **MAINTAIN CIVIL RIGHTS COMPLIANCE** – Applicants and subrecipients providing direct services to juveniles must maintain statutorily required civil rights statistics on juveniles served by race, national origin, sex, age, and disability (as defined by the Americans with Disabilities Act of 1990, 42 U.S.C. § 12101 et seq.), as well as by sexual orientation, gender identity, and gender presentation, within the timetable established by the Kentucky Justice and Public Safety Cabinet, Office of Management and Administrative Services, Grants Management Branch. Applicants and subrecipients must also permit reasonable access to its books, documents, papers, and records to determine whether the applicant or subrecipient is complying with applicable civil rights laws and requirements of the Kentucky Justice and Public Safety Cabinet, Office of Management and Administrative Services, Grants Management Branch.

10. **EQUAL EMPLOYMENT OPPORTUNITY ACT** – Applicants and subrecipients must maintain Compliance with Equal Employment Opportunity Act Requirements. Applicants and subrecipients must understand and certify they will remain in compliance with Equal Employment Opportunity Plan or documentation of exemption.

- a. Applicants and/or subrecipients must certify they are in compliance with the Equal Employment Opportunity Policy on their application for funding as a condition of award from the Kentucky Justice and Public Safety Cabinet, Grants Management Branch.

11. **LEP POLICY** - Applicants and subrecipients must certify that they have taken reasonable steps to ensure that Limited English Proficient (“LEP”) persons have meaningful access to the programs, services, and information those entities provide. This will require agencies to develop creative solutions to address the needs of this population of individuals whose primary language is not English, and provide a copy of their agency Policies and Procedures to ensure meaningful access to language assistance with their application. The Justice and Public Safety Cabinet strongly recommends a funded Agency's LEP Policy conforms to the [Language Access Assessment and Planning Tool for Federally Conducted and Federally Assisted Programs](#).

12. **CONFIDENTIALITY** – Applicants and subrecipients shall comply with all applicable state and federal confidentiality laws, including the Health Insurance Portability and Accountability Act and the Family Educational Rights and Privacy Act, and protect the security, confidentiality, and integrity of health and educational information.
13. **CONFIDENTIALITY OF STATISTICAL AND RESEARCH INFORMATION** – Except as otherwise provided by federal law, no recipient of monies under JJFIP shall use or reveal any statistical information furnished under this program by any person and identifiable to any specific private person for any purpose other than the purpose for which such information was obtained in accordance with JJIF. Such information may not be disclosed to any person or entity except pursuant to a judicial order from a court of competent jurisdiction.
14. **JUVENILE RECORDS** – Records pertaining to juveniles must be confidential and remain confidential pursuant to state and federal law.
15. **FAITH-BASED ORGANIZATION PERSONNEL PRACTICES** – Faith-based organizations asserting hiring practices on the basis of religion must download, complete, and sign a Certification of Exemption form located on the Kentucky Justice and Public Safety Cabinet website, [http://justice.ky.gov/Documents/Medical%20Examiners/fbo\\_sample.pdf](http://justice.ky.gov/Documents/Medical%20Examiners/fbo_sample.pdf) and upload it to the application.
16. **DISPROPORTIONATE MINORITY CONTACT (DMC)** – Applicants certify that they have reviewed the local disproportionate minority contact (DMC) data and have considered the impact in structuring their proposal.
17. **UNALLOWABLE ACTIVITIES:** Grant funds under the JJFIP Program may not be used for any unauthorized purposes, including but not limited to the following activities:
  - Alcoholic Beverages;
  - Legal Services;
  - Penalties;
  - Gift cards; gift certificates or gas cards;
  - Professional License(s) and Membership dues;
  - Food, except for circumstances specified in the financial section of this document;
  - Grant money utilized for donations and/or gifts;
  - Pre-award expenses;
  - Costs associated with grant development and administration;
  - Lobbying;
  - Construction or building renovations;
  - Office furniture;
  - Vehicle(s);
  - Purchase of real property;
  - Insurance fees; and
  - Out-of-state travel is prohibited with the exception to attend specific training

required of the evidence-based program or practice. Additionally, subrecipient must demonstrate the training is not offered or available in the Commonwealth of Kentucky;

\*The Justice and Public Safety Cabinet, Office of Management and Administrative Services, Grants Management Branch shall be the sole decision making authority for the determination as to whether an activity falls within the purpose of the grant proposal.

#### **18. APPLYING FOR THE FISCAL INCENTIVE PROGRAM:**

The Juvenile Justice Fiscal Incentive Program Grant Funding Committee asks applicants to: provide a description of the proposed program county(s)/region; the identified need the program is intended to meet; fully describe how their project will collaborate with schools, the Administrative Office of the Courts, the Cabinet for Health and Family Services, the Department of Juvenile Justice, and private entities serving youth and families; provide a description of performance measures to be utilized to measure the outcome and overall impact of the program; whether grant funds will be used to leverage existing funding resources or increase access to existing resources; geographical distribution; the number of youth potentially served by the program or service; the cost of the program or service; and the existence of similar services in the judicial district.

1. Identify a local committee comprising of local individuals or organizations, which may include judges, county attorneys, defense attorneys, educators, treatment providers, mental health or behavioral health providers, local officials, law enforcement, and other interested parties who will act as the subrecipient for the proposal.
2. Judicial districts or groups of judicial districts must arrive at an agreed upon application for submission.
3. Obtain approval from ALL juvenile court judges in the judicial district or groups of judicial districts on program proposal and if approved, establish an account with in the Kentucky Justice and Public Safety Cabinet's Electronic Grants Management System (eGMS).

All grant activities are managed through the Kentucky Justice & Public Safety Cabinet's electronic grants management system (eGMS). Applications must be submitted via the eGMS by the due date and time referenced in this document. Applicants must establish a system account prior to submission at [www.kyjusticegms.com](http://www.kyjusticegms.com). Applicants are strongly encouraged to establish a user account and familiarize themselves with the system well in advance of the due date through use of the included user training materials.

Please note: validation of new user accounts will take 48-72 business hours. Applicants who have previously applied for grants on the e G M S do not need to establish an additional account. More information about the application process may be found at: <http://justice.ky.gov>

**Applicants should also review the specific eGMS application in advance, as there are numerous required fields and information, character limits, and required supporting attachments.**

**Additional Application Instructions:**

Note: Helpful online training tools may be found on the Grants Management Branch website at: <http://justice.ky.gov/Pages/Grants-Management-Branch.aspx>

4. An email will be sent approving your eGMS, at which time you can create an application.
5. Applicants will complete the AOC-BG-1 - Request to Apply (signifying their intent to apply prior to application submittal) and submit through eGMS.
6. Applicants will request grant relevant data utilizing the Department of Family and Juvenile Services Statistical Data Report.

**19. DESIGNATED GRANT OFFICIALS:**

The following persons are eligible to serve as the designated grant officials:

**Program Lead** – Applicants must identify one program lead to administer grant activities. The program lead will sign any award documentation upon award.

**Financial Lead** – Applicants must identify one financial lead to administer grant activities. Financial Lead will work closely with Financial Officer to ensure financial compliance of grant activities

**Financial Officer** - Leslie Brown with Administrative Office of the Courts (AOC), will be responsible for all financial aspects of the JJFIP grants, including but not limited to, grant's management, and verifying and submitting applicable financial reports.

20. **SEGREGATION OF DUTIES:** Segregation of duties should be maintained among designated grant officials to ensure no individual has the ability to conceal or misdirect agency funds. The Financial Officer may not be assigned dual roles
21. **REVIEW OF GUIDELINES AND INSTRUCTIONS:** Prior to completing the JJFIP grant application, please review very carefully the JJFIP Guidelines and Instructions to become familiar with the requirements and restrictions regarding the use of funds. Use this information in the development of your project proposal. Guidelines and/or Instructions may vary from year to year, and applicants need to review these prior to beginning the application.
22. **GRANT PROPOSAL DEVELOPMENT:** All proposals should be concise, clearly written and submitted through the Kentucky Justice and Public Safety Cabinet's Electronic Grants Management System (eGMS). All major points must be supported by local facts and data, with appropriate citations. While detailed project descriptions are necessary, please avoid voluminous and unneeded information. Likewise, what may be common knowledge to your staff or community may not be known by the Review Committee.
23. **APPLICATION FORMS:**
- Guidelines and Instructions (must read and agree)
  - AOC-BG1 Request for Grant Application Approval Form must be completed and submitted for approval. Applicant will be notified of approval, once applicant is notified work can begin on the grant application. The Administrative Office of the Courts shall provide technical assistance to the applicant.
  - Judicial signature page (must get the required Judges signatures and upload to eGMS on the attachments page)
  - Committee Overview (Provide a BRIEF description of the proposed program, including mission statement and a list of staff to be funded with JJFIP grant dollars if applicable. - 2,500 Characters)
  - Contact Information (Program Lead, Financial Lead and AOC Financial Officer)
  - General Information (Complete open fields and Abstract - Please provide a brief abstract of your proposal or continued grant project. - 500 characters)
  - Certifications (Read and Agree)
  - Areas Served and Target Population (Identification of serviced counties and Target Population is required -1000 characters):
    - a. Select counties served and provide a detailed description of the clearly defined target population to be served in the grant period.
  - Application:
    - i. Project Activities and Operation (8,000 Characters):
      1. Overview of planned activities
      2. What parts of grant project are continuing or new activities?
      3. How work will be staff/organized, including hours worked per week for each position

4. Responsibilities of grant staff personnel
5. Discussion of facilities
6. Anticipated barriers to implementing project and agencies solutions

ii. Statement of Need (8,000 Characters):

1. Provide a clear and concise statement of need, including the following:
  - a. Statement of the community need
  - b. Data to support identified need
2. Name and description of the chosen evidence-based intervention(s) for the proposal and reason for selection. Describe why this particular program was chosen and how it will benefit your community.
3. Describe the services and supports provided to all individuals in the target population and which entities will provide those services.
4. Describe the parent involvement and/or community awareness activities provided using grant funds.
5. Describe all activities and the number of hours per activity per youth that will be supported, in whole or part, but grant funds.
6. Is there an existing similar program in your area that address this same need? If so, please elaborate on reason for seeking these grant funds for this program.

iii. Goals, Objectives and Performance Measures (Goals-100 characters each; Objectives and Performance Measures- 2,000 characters)

iv. Project Activities (8,000 characters)

v. Programming Components and Intended Outcomes (1,000 characters per question):

1. The use of evidence-based practices in program design;
2. How the program reduces the use of commitments;
3. How the program reduces the use of out-of-home placements;
4. How the program reduces recidivism;
5. How the program establishes or utilizes educational, vocational, substance abuse, behavioral health, mental health, or family intervention services, and local alternatives to detention;
6. Whether grant funds will be used to leverage existing funding resources or increase access to existing resources;
7. Geographical distribution;
8. The number of youth potentially served by the program or service;

- The cost of the program or service;
- 9. The existence of similar services in the judicial district;
- 10. Description of data collection and fidelity monitoring;
- 11. Description of what data will be collected;
- 12. Description of the data collection methods, including the person/role/agency responsible, data storage method, and data transfer method;
- 13. Descriptions of local processes for monitoring fidelity of implementation of the evidence-based program or practice. How will the program be reviewed to determine what is working with the initiative, what is not working, and process for making necessary changes; and
- 14. Description of how the program will address disproportionate minority contact, if applicable.

vi. Coordination Narrative (Please describe collaborative efforts to provide programs/services with other agencies and individuals within the community. Include agency/individual AND description of services collaborated. - 4,500 characters)

vii. Attachment(s):

1. Required Judicial Signature Page(s)
2. Required List of all committee members

- Budget:

- i. Personnel
- ii. Contractual Services
- iii. Travel & Training
- iv. Operating Expenses
- v. Budget Narrative
- vi. Budget Summary

**24. APPLICATION SUBMISSION:**

**APPLICATIONS FOR THE FUNDING ARE DUE NO LATER THAN 4:30PM EASTERN/3:30 PM CENTRAL ON FRIDAY, November 17, 2017.**

If there are any changes in the grant operation, staffing, or budget after submission of your application but prior to award, please notify GMB as soon as possible. After receiving an award, however, these changes are required to be made through the Grant Adjustment Notice (GAN) process.

Upon successful submission of an application, the authorized official will receive a confirmation email; this should be retained for their records. Applicants may also access the system after application submission to confirm status in the “Information” section or the screen header. If a user is unable to confirm application submission status, believes they have cancelled an application in error, or believes a system error has occurred that prevented successful submission, they should contact [askgmb@ky.gov](mailto:askgmb@ky.gov) well in advance of

the submission deadline in order to allow confirmation or further inquiry.

Requests for reconsideration of submission compliance will only be granted to users providing sufficient documentation of a) timely contact with GMB staff and b) identification of specific, verifiable system errors. User error will not be considered sufficient justification for submission deadline reconsideration.

**Please note the following:**

- Subrecipients who submit delinquent quarterly progress or financial reports, could have an adverse effect on reimbursement and/or future applications. Refusal to send, or delay in sending, requested supporting financial documents will result in non-compliance and may negatively affect future grant funding.
- GMB will not grant extensions of the application due date.

**25. APPLICATION REVIEW AND APPROVAL PROCESS:**

When a completed application has been submitted, it will then be subject to programmatic and financial review. Applications are reviewed by appropriate GMB/DJJ staff and also by an independent review committee of subject matter experts using set review criteria and assigned point values specific to the program.

- A review committee of subject matter experts will review all completed applications for JJFIP Grant funding. An average score is determined from each reviewer's results, based on the criteria set forth here. Applications receiving an initial score of less than 70% will not be funded.
- Following the initial review and scoring of the application by the independent review committee, Justice staff will perform administrative review of the application.
- The Justice and Public Safety Cabinet retains discretion to request additional information or explanation from the applicant in order to complete the review of the application, OR to submit recommendations to the Secretary of the Justice and Public Safety Cabinet to approve awards with special conditions, not fund a program, fund an amount less or more than the amount sought up to a maximum of \$200,000, or some other action deemed appropriate by the Justice and Public Safety Cabinet based on evaluation of historical performance, management of grants, and overall funding available with which to make awards.
- Notification of further action needed by an applicant may be in the form of a system-generated message, written letter, email, or telephone call. Failure to respond in the time frame specified may result in the application not being further considered for funding during that application period. Responses to requests for follow-up information will be used to further consider the request for funding.

Final award recommendations are made by the Justice and Public Safety Cabinet after consideration of Cabinet priorities, application scores, prior performance and management of grants, and/or availability of grant funds with which to make awards. Final approval of all grant applications rests with the Secretary and/or the Executive Staff of the Commonwealth, who will provide GMB with approval to proceed with final funding decisions.

- After the awards have been approved and the award documents have been uploaded into eGMS, subrecipients have **15 business days** to download, sign and upload their signed contract, signifying acceptance of the award. Failure to do so may result in the award being withdrawn and the funds redistributed.

For additional information on the application review process, please access the Kentucky Justice and Public Safety Cabinet, Grants Management Branch, Policy and Procedure Manual at [www.justice.ky.gov/departments/gmb](http://www.justice.ky.gov/departments/gmb).

## 26. REVIEW CRITERIA:

As reviewers take into consideration the basic objectives of the JJFIP Program, they apply the following criteria:

Committee Overview - Provides a brief overview of the committee implementing the grant-funded project, including a list of committee member names, their respective roles, employer, if applicable, and contact information.

a. Statement of Need (Proposal Statement of Need):

- i. Provide a clear and concise statement of need, including the following:
  1. Statement of the community problem
  2. Data to support identified need
- ii. Name and description of the chosen evidence-based intervention(s) for the proposal and reason for selection. Describe why this particular program was chosen and how it will benefit your community.
- iii. Describe the services and supports provided to all individuals in the target population and which entities will provide those services.
- iv. Describe the parent involvement and/or community awareness activities provided using grant funds.
- v. Describe all activities and the number of hours per activity per youth that will be supported, in whole or part, but grant funds.
- vi. Is there an existing similar program in your area that address this same need? If so, please elaborate on reason for seeking these grant funds for this program.

b. Goals, Objectives and Performance Measures Goals:

- i. Discusses the significance of the project and describes how it will establish community-based services and treatment programs that provide an alternative to out of home placement, as defined by KRS 600.020(43). Clearly provides description of long-term effect(s) the proposed project should achieve. Where applicable, describes how project design employs evidence based practices or is based upon research knowledge and/or data.
- ii. Objectives - Describe project objectives, which is a measurable step you

take to achieve a strategy. It should be ‘SMART’ – specific, measurable, accurate, realistic, and time-bound.

- iii. Performance Measures - Monitoring and Evaluation Criteria must be provided for each objective. Ideally, evaluation of a project will consist of more than the accumulation of quantitative information (process measures, *e.g.*, number of clients served; number of types of services provided; number and types of educational materials distributed; cost per person served). It will also provide a qualitative assessment (outcome measures, *e.g.* changes in knowledge, attitude or behavior of the target population; pre-test and post-test results).
- c. Project Activities and Operations:
  - i. Provide a concise summary of the proposed project, including a description of major tasks necessary to fully implement. Provides the who, what, where, when and how of the proposed project. Includes a comprehensive performance timetable identifying milestones to be achieved in this project. Ties activities to goals, objectives and the performance measures applicable to the proposed project.
- d. Programming Components and Intended Outcomes:
  - i. The use of evidence-based practices in program design;
  - ii. How the program reduces the use of commitments;
  - iii. How the program reduces the use of out-of-home placements;
  - iv. How the program reduces recidivism;
  - v. How the program establishes or utilizes educational, vocational, substance abuse, behavioral health, mental health, or family intervention services, and local alternatives to detention;
  - vi. Whether grant funds will be used to leverage existing funding resources or increase access to existing resources;
  - vii. Geographical distribution;
  - viii. The number of youth potentially served by the program or service;
  - ix. The cost of the program or service;
    - x. The existence of similar services in the judicial district;
    - xi. Description of data collection and fidelity monitoring;
    - xii. Description of what data will be collected;
  - xiii. Description of the data collection methods, including the person/role/agency responsible, data storage method, and data transfer method;
  - xiv. Descriptions of local processes for monitoring fidelity of implementation of the evidence-based program or practice. How will the program be reviewed to determine? and
  - xv. Description of how the program will address disproportionate minority contact, if applicable.

- e. Coordination Narrative:
  - i. Provides a description of how project staff will coordinate services with other agencies and organizations in delivery of services to victims of crime.
- f. Budget Narrative and Budget:
  - i. Provides a comprehensive budget and budget narrative that are complete, allowable, justified, and clearly related to project goals, objectives and operations.
- g. Area Served/Target Population:
  - i. Counties
  - ii. Select Target Population

<b>Juvenile Justice Fiscal Incentive Grant Program (JJFIP) Scoring Matrix</b>	
Project Activities and Operations	10
Area Served/Target Population	2
Statement of Need	10
Goals Objectives & Performance Measures	25
Programming Components & Intended Outcomes	30
Coordination Narrative	10
Budget Narrative	10
Committee Overview	3
<b>Total Points</b>	<b>100</b>

**27. AWARD PROCESS:**

Recipients of awards will be notified by U.S. Mail of their award, email, or eGMS award notification, generally by January 1st. Award announcements cannot be made without approval from the Secretary of the Justice and Public Safety Cabinet or the Governor. Recipients will receive further instructions on award acceptance from Grants Management Branch staff via phone, email, or U.S. Mail.

**28. POST-AWARD REQUIREMENTS:**

Planning Period: To allow for the successful integration of evidence-based services into juvenile justice operations, subrecipients will be allowed a planning period of 90 days, starting on the date of award approval. This will allow time for staff to be hired, trained, and contracts with service providers to be established. The planning period is optional and all new projects must be operational no later than 90 days from notification of grant approval. If subrecipient needs an extension of the planning period, a request may be submitted outlining reason for needed extension and new timeline for startup. AOC is available to assist through providing technical assistance and feedback during the planning period. ALL contracts will be established by AOC. NO contract shall be established or funds obligated without the approval of the AOC Financial Officer and will be in accordance with the financial guidelines included herein and the approved grant budget.

**29. EVALUATION AND MONITORING:**

Each program funded by the Kentucky Justice & Public Safety Cabinet under the JJFIP grant shall contain an evaluation component. Project Reports (required reporting of a subrecipient) will be analyzed for evaluation purposes. Some projects may receive intensive evaluations.

**Note: Subrecipient is required to report program specific data, through the quarterly progress reports via eGMS to ensure the Administrative Office of the Courts has the capacity to collect and report data the judicial districts are required to report under the fiscal incentive program.**

**30. SEGREGATION AND REPORTING REQUIREMENTS:**

Clearly segregated and enhanced tracking and reporting of JJFIP funds, outcomes, and benefit data are required through submission of financial and programmatic progress reports. Reports are due quarterly, by the 15th calendar day of the month following the close of a quarter.

Grants Management Branch monitoring includes desk review of financial and program reports submitted by the subrecipient on a quarterly basis and periodic on-site monitoring to review grant compliance, assess management controls, evaluate the applicable activities and provide technical assistance. In addition, the subrecipient agrees to maintain and provide any data or information requested for the purposes of monitoring and program evaluation. For additional information, see GMB Management Policies and Procedures Manual, [www.justice.ky.gov/departments/gmb/](http://www.justice.ky.gov/departments/gmb/).

**31. GENERAL FINANCIAL REQUIREMENTS AND INSTRUCTIONS:**

All JJFIP awards funded through the Grants Management Branch will be transferred to AOC for disbursement.

AOC will be responsible for all direct payments to vendors or subrecipients. All direct purchases should be made by AOC and in accordance with AOC processes. ALL contracts will be established by AOC. NO contract shall be established or funds obligated without the approval of the AOC Financial Officer and will be in accordance with the financial guidelines included herein and the approved grant budget.

Payments may be delayed if the recipient does not adhere to program and financial reporting requirements.

**32. ACCOUNTING SYSTEM:**

The recipient is responsible for establishing and maintaining an adequate system of accounting and internal controls for itself, and for ensuring that an adequate system exists for each of its subrecipients. An acceptable and adequate accounting system:

- Presents and classifies projected historical cost of the grant as required for

- budgetary and evaluation purposes;
- Provides cost and property control to ensure optimal use of funds;
- Controls funds and other resources to assure that the expenditure of funds and use of property conform to any general or special conditions that apply to the recipient;
- Meets the prescribed requirements for periodic financial reporting of operations; and
- Provides financial data for planning, control, measurement, and evaluation of direct and indirect cost.

**33. TOTAL COST BUDGETING AND ACCOUNTING:**

Accounting for all funds awarded by the agency shall be structured and executed on a “total program cost” basis. That is, total program costs, including federal funds, state and local matching shares, and any other fund sources included in the approved project budget or received as program income shall be the foundation for fiscal administration and accounting. Unless otherwise prohibited by statute, applications for funding and financial reports require budget and cost estimates on the basis of total costs.

**34. COMMINGLING OF FUNDS:**

Recipients and subrecipients are prohibited from commingling funds on either a program-by- program or project-by-project basis.

**35. SUPPLANTING:**

Programs cannot use JJFIP funds to supplant state and local funds that would otherwise be available for these purposes. These funds are intended to enhance or expand services, and are not intended to substitute for other sources of support. Please note the following:

- If a new person is going to be hired to conduct project activities (i.e., the department's personnel strength is increased), his/her salary may be charged to the project.

Funds specifically budgeted and/or received for one project may not be used to support another. Where a recipient’s or subrecipient’s accounting system cannot comply with this requirement, the recipient or subrecipient shall establish a system to provide adequate fund accountability for each project it has been awarded.

**36. LIABILITY INSURANCE:**

Agency liability insurance is considered to be an incidental expense, and may not be charged to the JJFIP grant. Professional liability insurance, such as for a nurse or therapist, is also not an allowable expense.

**37. BUDGET PREPARATION:**

- General Instructions:
  - a. The budget forms must be completed in detail, with amounts rounded to the nearest whole dollar.

- b. When preparing a proposed budget for JJFIP funds, please keep in mind all four budget categories: *Personnel, Contractual Services, Travel/Training, and Operating Expenses*.
- c. Consider your program goals and objectives and design the budget so that it may best suit the overall effectiveness of the program. It should also be noted that certain budget revisions may be required based on the availability of funds.
- d. Applicants for grants must submit a budget narrative. The budget narrative should detail by budget category. The purpose of the budget narrative is to relate items budgeted to project activities and to provide justification and explanation for budget items, including criteria and data used to arrive at the estimates for each budget category. **DO NOT SIMPLY RESTATE THE BUDGET.**
- e. Travel/Training and Operating Expenses require a method of computation for each request (e.g., travel—purpose, destination, lodging, mileage rates and per diem rates; operating expenses--rent, total square feet, space requirements per JJFIP staff person, total agency costs, allocation percentage).

**NOTE: A budget checklist is provided at the end of these guidelines to assist in completing the JJFIP application.**

- o The following are the four (4) budget categories allowable to cover costs associated with JJFIP Program funds:
  - i. PERSONNEL - Guidelines:
    - 1. No grants will be made to supplement salaries for existing positions. Charges of the employees' time assigned to grant projects may be reimbursed or recognized only to the extent they are directly and exclusively related to grant purposes. In no case is dual compensation allowable.
    - 2. Compensation for any funded position(s) through the fiscal incentive fund shall be consistent with the job class specifications outlined by the Commonwealth of Kentucky Personnel Cabinet. Wage/salary should be based upon knowledge, skills, abilities, associated education, training and experience required to successfully perform the job.
    - 3. Timesheets must be maintained and submitted for all grant funded personnel indicating activity and hours worked, with original signatures of both the employee and supervisor.

4. Completion of criminal background checks by the Kentucky State Police and Central Registry Checks completed by Cabinet for Health and Family Services on personnel is required; charges are associated with criminal background checks and central registry checks.
5. Where salaries apply to both project operation and non-project activity, or apply to two or more separate projects, pro-ration of costs to each activity must be made based on time and attendance reports. These timesheets must:
  - a. Reflect an after-the-fact distribution of the actual activity of each employee;
  - b. Account for the total activity for which each employee is compensated;
  - c. Be prepared at least monthly and coincide with one or more pay periods; and
  - d. Be signed by the employee and approved by a supervisory official having firsthand knowledge of the work performed.

**For example, a full-time employee working 40 hours per week reports 15 hours on the JJFIP grant-funded project, and 25 hours worked on other activities. 37.5% of the employee's salary for the week may be paid with JJFIP funds.**

6. Positions that existed prior to the grant and were funded from any source other than Grants Management Branch grant funds are not eligible for JJFIP grant funds. Existing employees of the applicant may be transferred from other positions to fill the positions in the grant project; however, the positions vacated must be filled by new hires so that the applicant's full staff of non-grant employees is not reduced in number by the award of the grant.
7. Payments for fringe benefits are allowable personnel costs and cannot exceed the amount paid by the employer. The fringe benefits must be reasonable and in line with state, city or county rates.
8. The personnel budget should clearly identify the responsible employer of all personnel. No personnel included in the proposed budget shall be an employee of the Administrative Office of the Courts.
9. PERSONNEL - Instructions:
  - a. Each position must be listed by title (and name of employee, if available), monthly salary rate for the employee, the percentage of the employee's time to be devoted to the project and total employee

cost for the project.

- b. Funded part-time positions (positions devoting less than 100% of a standard work shift to the grant project) should be supported by a brief explanation of the incumbent employee's duties outside the grant project or by a statement that the employee is not employed elsewhere by the subrecipient.
- c. Attach job description and resume of JJFIP Project Staff (or a placeholder document for unfilled or proposed new Staff positions).
- d. Documentation of fringe benefits must be submitted with the budget to reflect the actual rates being paid by the employer. The following are considered allowable benefits:
  - Health, Dental and Life Insurance, (Single Plan only)
  - FICA
  - Retirement
  - Worker's Compensation
  - Unemployment Insurance

10. PERSONNEL – Other (The following **cannot** be funded):

- a. Job placement/counseling services. Case management and crisis counseling which discusses employment issues or makes referrals to job placement/counseling services is allowable.
- b. Any activities that have a primarily recreational purpose.
- c. Fundraising activities.
- d. General informational presentations to the public with a primary purpose of prevention. Informational presentations must be primarily geared toward professionals, or to conducting outreach with target populations to notify them of services available through the grant project.

ii. **CONTRACTUAL SERVICES:**

- 1. Compensation for individual consultant services is to be reasonable and consistent with that paid for similar services in the market place. The maximum rate for consultants under Kentucky Justice and Public Safety Cabinet policy is \$650 (excluding travel and subsistence costs) for an 8-hour day or \$81.25 per hour. An 8-hour day may include preparation, evaluation and travel time in addition to the time required for the actual

performance. Additionally, travel and subsistence costs may be paid. A request for compensation for over \$450 per day requires prior approval and additional justification.

2. Contractual Arrangements with individuals must ensure that:
  - a. The contractual agreement is written, formal, proper and otherwise consistent with the applicant's usual practices.
  - b. Time and/or services for which payment will be made and rates of compensation must be supported by adequate documentation.
  - c. Travel and subsistence costs are at an identified rate consistent with the cost allowed in Section III, Travel.

iii. TRAVEL/TRAINING:

1. Training for persons (salaried or volunteer staff) who are identified as part of the JJFIP project staff is allowable. Allowable use of JJFIP funds is limited to staff development of direct service providers in individual projects to enhance their skills directly related to the program purpose area. Management training is not eligible. Whether or not training costs are budgeted under the grant application or staff funded, in whole or part, must meet the training requirement described on page 9.
2. Post-award use of Travel/Training funds may be used for transportation, subsistence and registration fees for applicants to attend conferences and training seminars. Travel must be approved through the original grant application or a subsequent grant adjustment notice. Requested travel expenses shall not exceed the established mileage and subsistence policy as set forth by the Commonwealth of Kentucky, Finance and Administration Cabinet. **Please see 200 KAR 2:006 and <http://finance.ky.gov/services/statewideacct/Pages/travel.aspx> for current rates and regulations.**
3. Transportation must be the most economical. Bus, subway and taxi fares are allowed for city travel. Commercial airline travel shall be coach/tourist class. Additional expense for first class travel will not be allowed. The cost of rental cars in lieu of ordinary transportation will be allowed only with acceptable justification. Actual parking, bridge and toll charges are reimbursable. Reasonable expenses for baggage handling, for delivery to or from a common carrier or lodging and for storage are reimbursable. Registration fees required for admittance to official travel meetings are reimbursable. If the fee entitles registrants to meals, claims for subsistence must be reduced accordingly. Telephone, tip charges, and laundry charges are not reimbursable with grant funds.

4. All expenses shall be supported by documentation that indicates destination, time and purpose of travel.

**NOTE: If the travel and reimbursement requirements of the applicant agency are more stringent than that of the Commonwealth, the more stringent of the two must be followed.**

iv. OPERATING EXPENSES:

1. Operating expenses include items necessary and essential for the ongoing operation of the project. Items must be individually listed and approved through the original grant application or in subsequent grant adjustment notices prior to the actual expense.
2. List items within this category by major type (e.g., office supplies, training materials, research forms, telephone and postage). Show basis for computation (“X” dollars per month for office supplies, “Y” dollars per person for training materials, “Z” dollars per month for telephone-long distance) on the budget narrative page. Large items should be separately listed and identified (e.g., unusual supply items, special printing or mailings required for project). On miscellaneous expenses, a specific itemization of each type of expense with basis of computation should be provided. Please show the allocation if only partially funded or used as match.

**Please note: If the applicant agency or a related party owns the space used by the program, the fair market rental value of the space cannot be used as match or reimbursed under the state share.**

3. Whether you own, rent or are donated the space used by the program, cost of ownership items such as utilities and security for a shelter are allowable. However, other costs such as: liability insurance on buildings; capital improvements; property losses and expenses; mortgage payments; real estate purchases; construction; and other indirect organizational costs such as depreciation, property taxes, maintenance, and janitorial will not be allowed.
4. Printing and distribution of brochures and similar announcements describing the direct services available and how they may be obtained is allowable.
5. The following items **cannot** be funded or used as match:
  - a. Janitorial, cleaning, and/or lawn care supplies.
  - b. Household items not specifically identifiable to the immediate crisis period.
  - c. Audit costs, even if required under OMB Circular A-133 and tax return fees.

- d. Equipment repair and maintenance for any item not purchased with JJFIP funds, excluding allocated copy contracts that include toner, supplies, etc.
- e. Some law enforcement equipment, such as uniforms, safety vests, shields, weapons, bullets, and armory.
- f. Accounting services.

**38. PROCUREMENT PROCEDURES:**

Applicants shall use procurement procedures and regulations as set forth by the Commonwealth of Kentucky, Finance Administration Cabinet. Please see <http://finance.ky.gov/services/eprocurement/Pages/default.aspx> for more information.

**NOTE: If the procurement policy of an agency is more restrictive than the Commonwealth's, the more restrictive of the two must be followed.**

**39. CASH CONTRIBUTIONS:**

Represent an applicant's cash outlay, including non-federal money contributed by public agencies and institutions, and private organizations and individuals. These items must be encumbered within the grant period.

**40. RECORD KEEPING: (If applicable)**

JJFIP recipients and their subrecipients must maintain records that clearly show the source, the amount, and the period during which the match was allocated. The basis for determining the value of personal services, materials and space must be documented. Volunteer services must be documented, and to the extent feasible, supported by the same methods used by the subrecipient for its own paid employees. Match is not a requirement of JJFIP funding.

**41. BUDGET CHECKLIST:**

*This checklist is for your convenience in preparing your application budget, along with a budget narrative, as part of the JJFIP grant application. It is for your use only and should not be submitted with the application.*

- **SECTION I. PERSONNEL:**

- a. **Salaries:**

- i. Is the basis for determining each employee's compensation described?
- ii. Is each position identified by title?
- iii. Will vacant positions be filled by new hires or transfers from within? If transfers, will replacements be hired?
- iv. Are time commitments stated?
- v. Is the amount of each employee's annual compensation stated?
- vi. Are salary increases anticipated during the grant period? If so, are the increases justified in the narrative?
- vii. Are any personnel costs dual compensation?

**b. Fringe Benefits:**

- i. Is each type of benefit indicated separately?
- ii. Has the appropriate percentage and calculation been provided?
- iii. Is the authority for the percentage provided?
- iv. Are the listed benefits provided for all employees of the agency?
- v. Are fringe benefit increases anticipated during the grant period? If so, are the increases justified in the narrative?

• **SECTION II. CONTRACTUAL SERVICES:**

1. Is the type of each service to be rendered described?
2. For individuals:
  - a. Is an hourly or daily rate given? Are base rates justified and reasonable?
  - b. Is the total amount for any contract in excess of \$10,000.00? If so, has  
the applicant indicated that services have been or will be obtained by acceptable procurement procedures?
- c. Is “sole source” an issue? If so, is justification included?

• **SECTION III. TRAVEL:**

1. Is a basis for computation provided?
2. Is the purpose of requested travel directly related to the proposed project?
3. Are per diem, lodging and transportation costs listed separately?
4. Have the most economical costs been provided?
5. Have the appropriate project personnel been identified for the travel?

• **SECTION IV. OPERATING EXPENSES:**

1. Are operating expenses listed by major types (e.g., Supplies, Rent, Postage, etc.)?
2. Are unit costs or monthly estimates provided?
3. Will appropriate procurement procedures be followed?