

BUREAU OF JUSTICE ASSISTANCE

# 8TH ANNUAL NATIONAL SAKI GRANTEES MEETING

BJA Programs Office – Track A  
Best Practices for Managing Multiple SAKI Awards

December 11, 2023





# Speaker



Mila Hago, Grants Management Specialist, BJA

# Agenda

Office of Justice Programs (OJP) and Bureau of Justice Assistance (BJA) Overview

Roles and Responsibilities

Managing Multiple SAKI Awards

Planning for Sustainability of Your SAKI Work

Resources

Questions

# What is the Office of Justice Programs?

- The Office of Justice Programs (OJP) provides grant funding, training, research, and statistics to the criminal justice community.
- OJP is one of three grant-making components of the Department of Justice along with the **Office on Violence Against Women (OVW)** and the **Office of Community Oriented Policing Services (COPS)**.

**BJA** – Bureau of Justice Assistance



**BJS** – Bureau of Justice Statistics



**NIJ** – National Institute of Justice



**OVC** – Office for Victims of Crime



**OJJDP** – Office of Juvenile Justice and Delinquency Prevention



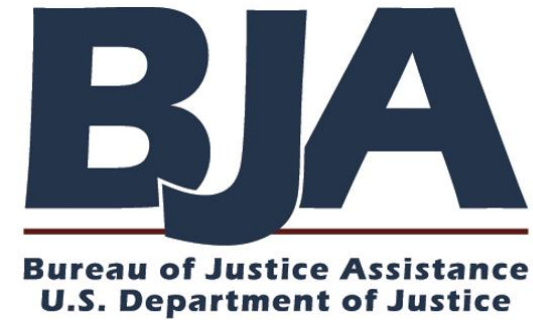
**SMART** – Office of Sex Offender Sentencing, Monitoring, Apprehending, Registering, and Tracking



# U.S. Department of Justice Bureau of Justice Assistance

**Mission:** BJA's mission is to provide leadership and services in grant administration and criminal justice policy development to support state, local, and tribal justice strategies to achieve safer communities. BJA works with communities, governments, and nonprofit organizations to reduce crime, recidivism, and unnecessary confinement, and promote a safe and fair criminal justice system.

**Karhlton F. Moore, BJA Director**



<https://bja.ojp.gov/>



# How BJA Supports the Field



## Fund

Invest diverse funding streams to accomplish goals.



## Educate

Research, develop, and deliver what works.



## Equip

Create tools and products to build capacity and improve outcomes.



## Partner

Consult, connect, and convene.

# BJA Roles and Responsibilities

## Programs Office



**Mila Hago**

BJA Grants Management Specialist



**Lauren Troy**

BJA Grants Management Specialist



**Tiffany Johnston**

BJA Grants Management Specialist

- Provides grant management and oversight on your SAKI award.
- Ensures that grantees are compliant with all rules, regulations, and award conditions.
- Reviews Grant Award Modification (GAMs) requests.
- Reviews and approves performance and financial reports.
- Conducts in-depth monitoring of the awards.

## Policy Office



**Dr. Angela Williamson**  
BJA Supervisor, Forensics Unit/  
FBI ViCAP Liaison



**Carey Hendricks**  
BJA Policy Advisor,  
Forensics Unit

- Conducts programmatic oversight of SAKI operations.
- Provides determinations in cost allowability.
- Reviews Training Requests and Publications.
- Responds to and advises on technical questions regarding forensic cases and forensic methodologies.
- Assists in the prosecutorial approach to SAKI cases.

# RTI Roles and Responsibilities

**RTI International**  
**(Training and Technical Assistance provider)**



Dr. Pattie

Melton



Dr. Kevin Strom

RTI Subject Matter Experts Regional Team

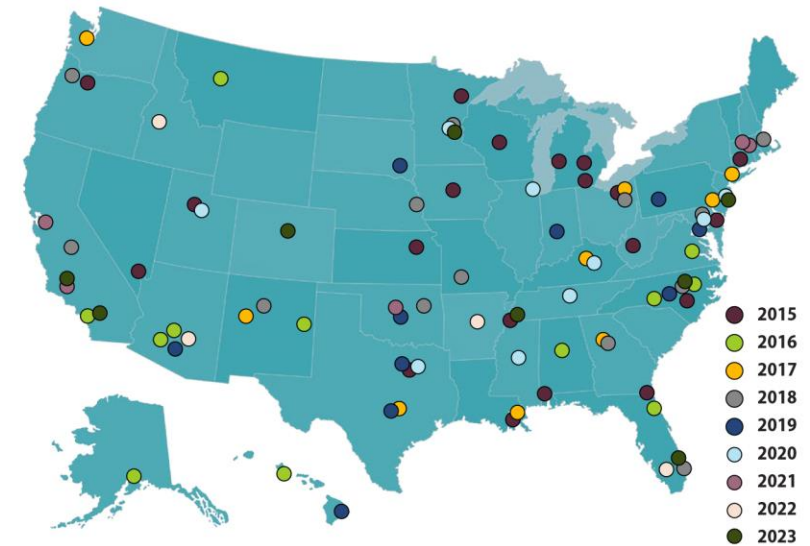
- Provides customized TTA to SAKI grantees.
- Addresses long-term needs: capacity building, interagency coordination, and strategic priorities.
- Facilitates cross-site communication and learning.
- Develops TTA curricula and materials that align with policy and implementation needs.
- Disseminates and assists with implementation of evidence-based practices.



# SAKI Site Statistics

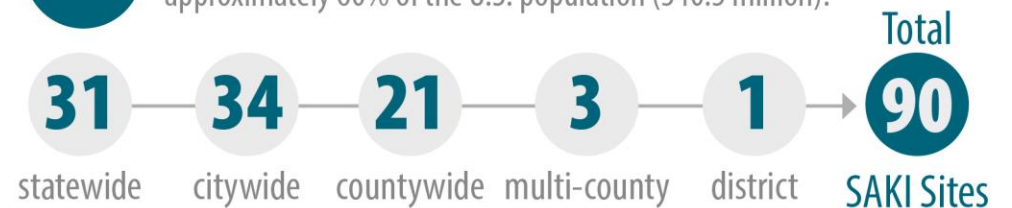
- Total number of active SAKI sites including FY23 sites = 76
- Number of active SAKI sites with multiple awards, including FY23 sites = 38
- Total number of historic SAKI sites including FY23 sites = 90

## SAKI NATIONAL IMPACT



See [long description](#) associated with this image.

**~60%** SAKI sites, both currently and previously funded, represent approximately 60% of the U.S. population (340.5 million).



# Audience Question

How many of you are currently managing more than one SAKI award?

# Managing Multiple SAKI Awards

## Programmatic

- Setting Clear and Distinct Goals under Each Award
- SMART Goals
- Working with Your Partners and Managing Subrecipients
- Maintaining Documentation

## Administrative and Financial

- Adequate Accounting System
- Tracking Costs
- Managing Contracts
- Managing Subrecipients
- Forecasting

# Importance of Goals



# Setting SMART Goals



**Specific**

- What will be accomplished?
- What actions will you take?
- Who is involved?



**Measurable**

- What metrics will you use?
- What are the indicators of success?



**Achievable**

- How will you accomplish your goals?
- What are the tools/skills needed?



**Relevant**

- What is the overall relevance of the goal to your project?
- How does it align with the SAKI program?



**Timebound**

- What are the deadlines?
- Is there a sense of urgency for some deliverables?

# Goals and Objectives

Goal	Status	Progress & Barriers	Planned Activities
<ul style="list-style-type: none"> <li>Goals are set for the duration of your project and should remain consistent throughout each report.</li> <li>Goals should be SMART: Specific, Measurable, Achievable, Relevant, Time Bound.</li> </ul>	<ul style="list-style-type: none"> <li>The status of the goal may change from one reporting period to the next – there are prepopulated options in the PMT.</li> </ul>	<ul style="list-style-type: none"> <li>Progress, achievements, and challenges toward each goal should be reported here for the last two quarters.</li> <li>The detailed narrative should be specific and clearly demonstrate the work completed in the last 6 months as it relates to each specific goal.</li> </ul>	<ul style="list-style-type: none"> <li>Anticipated activities, as they relate to a particular goal, should be outlined for the next 6 months.</li> </ul>

# SMART Goals

Purpose Area	Goal
Purpose Areas 1&2	<p>Goal: Eliminate the backlog of previously unsubmitted SAKs by conducting an inventory of all SAKs within the first 6 months of the project and testing all eligible SAKs at a rate of 100/month.</p>
Purpose Area 3	<p>Goal: Increase the efficacy of national DNA databases by collecting, testing, and uploading DNA samples from convicted offenders who legally owe DNA.</p> <p>Objective: Conduct a comprehensive census within the first year of the project to identify eligible convicted offenders who could be linked with the jurisdiction's previously unsubmitted SAKs and who should have samples in CODIS. Formulate a DNA collection plan within the first year of the project that will target the collection of DNA from convicted offenders who have a high likelihood of being linked to cases associated with the jurisdiction's unsubmitted SAKs. Collect, test, and upload to CODIS lawfully owed DNA samples from convicted offenders who are confirmed as not in CODIS and who legally owe DNA.</p>

# SMART Goals

Purpose Area	Goal
<p>Purpose Area 4</p>	<p>Goal: Facilitate a coordinated community response to sexual assault through a victim-centered approach by achieving the following objectives:</p> <p>Objective: Form (within the first year of the project) and maintain an MDT group to oversee the investigation and prosecution of cases, victim engagement and services.</p> <p>Objective: Investigate and prosecute cases through to final adjudication throughout the project period.</p> <p>Objective: Launch a public awareness campaign within 6 months of receiving the grant to keep the public updated on the sexual assault reform efforts and encourage victim engagement.</p> <p>Objective: Engage with victims, on rolling bases as appropriate, to provide support and services throughout the investigation/prosecution of cases resulting from SAK testing.</p>



# SMART Goals

Purpose Area	Goal
Purpose Area 5	<p>Goal: Implement sustainable changes in policies and procedures that ensure unsubmitted kits never accumulate again, enhance overall response to sexually motivated crimes, and maintain a victim-centered focus.</p> <p>Objective: Develop policies and procedures that require all law enforcement agencies to submit newly collected SAKs to a forensic crime laboratory within 30 days and require the forensic lab to test the submitted kits within a specified timeframe.</p> <p>Objective: Require mandatory training for all law enforcement officers on sexually motivated crimes.</p> <p>Objective: Require a victim advocate to be available to all survivors of sexually motivated crimes.</p>

# Managing SAKI Project Partners

## Subrecipients' performance measures

- How do subrecipients' goals and objectives fit into the overarching goals of your SAKI work under each award?
- Are subrecipient goals SMART?
- Which data elements are they tracking?
- Are they maintaining proper backup documentation for the data they are reporting to you?

## Managing subrecipients

- Maintaining individual subrecipient files under each SAKI award.
- Collecting regular performance and financial reports under each SAKI subaward – don't commingle reporting between SAKI Awards.
- Maintaining subrecipient award deliverables under the correct SAKI grant.
- Risk-based subrecipient monitoring – each subaward should be considered in your annual monitoring plan, not just individual subgrantee organization.

## Understanding subrecipients' needs

- SAKI subrecipients provide substantial contributions to programmatic success.
- How do subrecipients' needs fit into the future of your SAKI program?

# Maintaining Programmatic Award Files

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**Each SAKI grant should have its own award file and include:**

Application documents

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Any changes to the program scope

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Established goals and objectives

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Copies of performance reports

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Award deliverables materials and BJA approval of the deliverables – presentations, publications, trainings, etc.

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Performance metrics backup documentation

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# Administrative – Best Practices

**1. Maintaining individual award files for each active SAKI award**



**3. Managing multiple subrecipients under each SAKI award**



**2. Documentation and Competition on Procurement Contracts**



Let's take a closer look...

# Grant Files & Documentation

For each SAKI award:



- Award File: Should contain all relevant documentation. Can be maintained in an electronic or hard format. Should be organized in a way that can easily identify financial, administrative, and programmatic documents.
- Administrative documentation: application documents – approved narrative, budget, and letters of support, and any other important documents; signed award documents, copy of award conditions, and any other pertinent documentation, correspondence with OJP grant manager.
- Financial documentation: including but not limited to: approved budget, approved budget modification GAMs, submitted FFRs, budget to actual report, etc.
- Programmatic documentation: approved program narrative, approved change of scope GAMs, established goals and deliverables, metrics tracking documents, all deliverables such as publications, presentations, etc.

# Procurement Contracts Documentation

For each SAKI award:



- Maintain all procurement related documentation for each procurement contract under each SAKI award.
- Regardless of the need for prior approval by OJP, all procurement decisions should be documented and evidence maintained in award file including:
  - What was sent out.
  - What was received.
  - How the decision was made.

# Procurement Contracts Competition

For each SAKI award:

- Ensure competition for all federal funds.
- Grantees should follow their local/state guidelines for procurement.
- Timeline - Agency timeline is not a factor for compliance.
- ***Keep in mind*** if using the same procurement contract for multiple SAKI awards (it must be current, for the same work, and your agency must track **each** grant funding source separately under the contract.



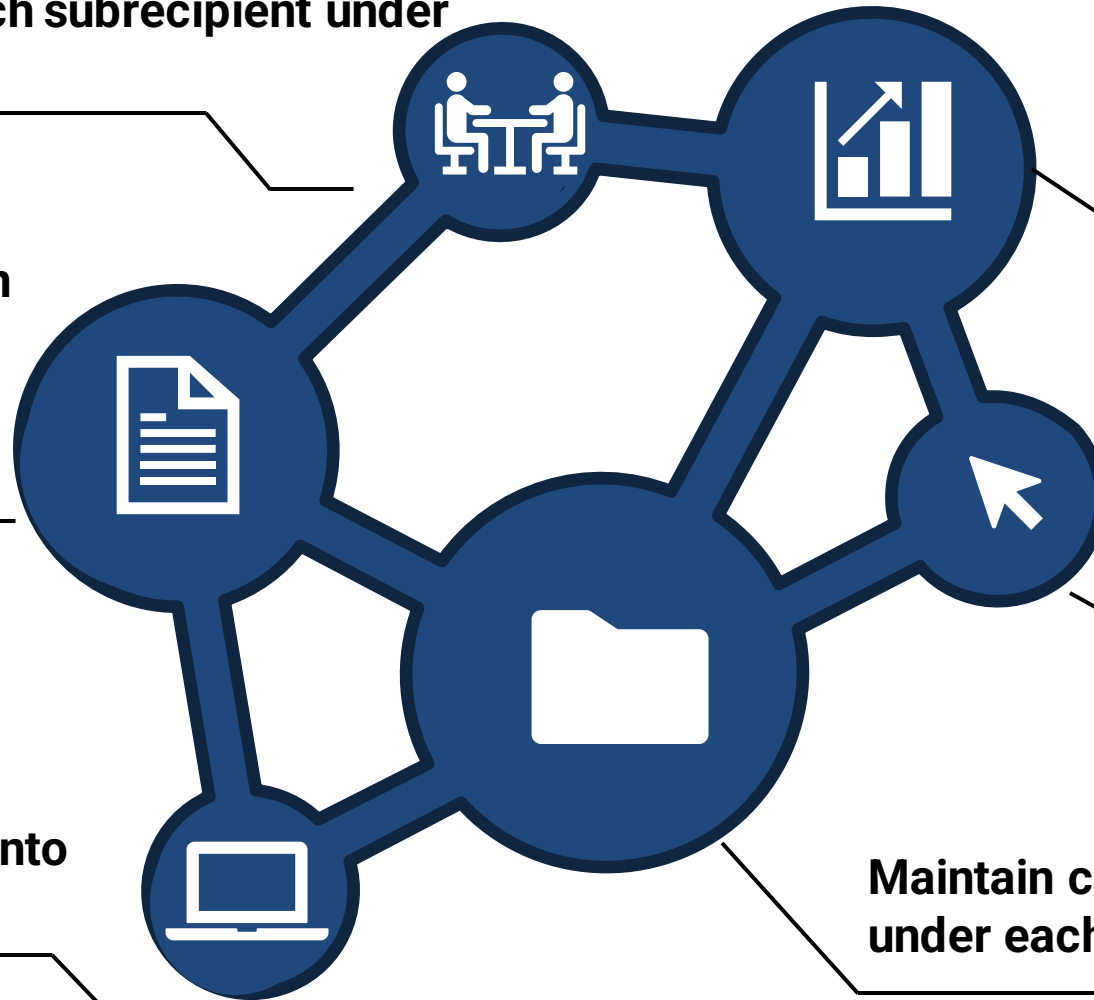
Sole source contracts can be used only in limited instances; please see the criteria in which these instances apply as outlined in the [DOJ Financial Guide](#).

# Subrecipient Management

Conduct monitoring of each subrecipient under each SAKI award.

Collect, review, and maintain financial and performance reports.

Submit FFATA reports into FSRs.gov



Conduct risk assessments for each subrecipient under each SAKI award.

Helpful resource:  
Subrecipient Polices and Procedures Webinar:

<https://bja.ojp.gov/media/video/41256>

Maintain complete subrecipient grant files under each SAKI award.



# Subrecipient Files & Documentation

For each SAKI award:



- Subrecipient Grant File: signed agreement, contract, MoU, correspondence between subrecipient and pass-through entity, Signed award document, Progress Reports, Financial Reports.
  - BJA subrecipient authorization (via budget worksheet; Programmatic Scope GAM).
- Pre-Award documentation: announcement, decision-making supporting documentation.
- Financial documentation: including but not limited to: proof of payments, invoices, receipts, etc.
- Federal Funding Accountability and Transparency Act (FFATA) reports.
- For any subgrants issued awards in excess of \$100,000, please ensure you have subrecipient's Lobbying Certification which can be found here: <https://www.gsa.gov/forms-library/disclosure-lobbying-activities>

# Subgrantee Risk Assessment

Perform a risk-assessment of applicants prior to awarding funds – highly recommended.



Evaluate the risk posed by applicants before they receive an award. Consider such elements as:

- Applicant's eligibility or the quality of its application.
- Financial stability and quality of management system.
- History of performance.
- Audit findings.

The results of the risk assessment can assist the pass-through entity in determining whether additional terms and conditions should be imposed on the award.

# Monitoring Considerations



Tip: The pass-through entity should conduct monitoring activities according to the pass-through entity's subrecipient monitoring policies and procedures.



Annual risk assessment of subgrantees should provide the basis for developing an annual monitoring plan and strategy for monitoring subrecipients.



The pass-through entity's annual monitoring plan should specify the type of monitoring - on-site or in-house review.



Pass-through entities should develop monitoring objectives to ensure subrecipients:

- Carry out program activities as stipulated in the subaward.
- Have adequate internal controls to protect federal funds.
- Claim reimbursement for costs that are allowable, reasonable, allocable, and necessary under program guidelines.
- Identify any conflicts of interest that exist.
- Maintain required supporting documentation/records.

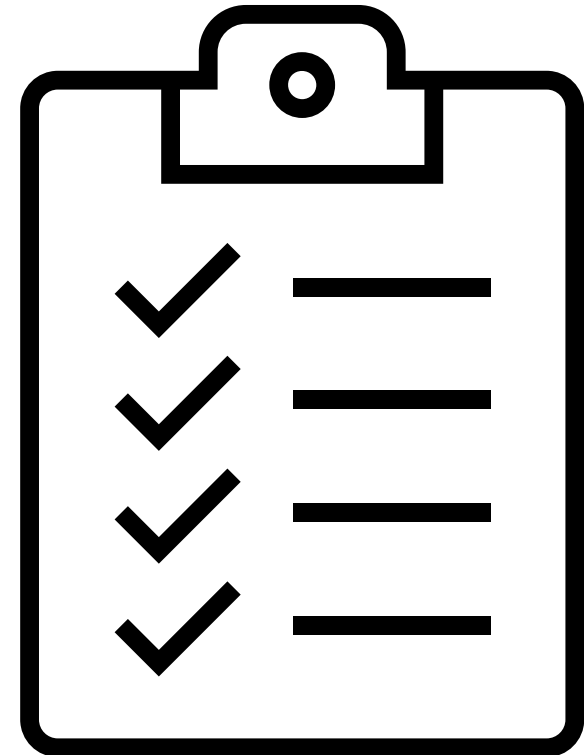
# Subrecipient – Reporting Requirements

Ensure performance and financial subrecipient reports are submitted on a quarterly basis.

Subrecipients' goals and objectives should be SMART.

Financial reimbursement should be made based on expenditures reported.

Ensure subrecipient performance reports are formatted and structured to collect required information for PMT reporting and specific to the Purpose Area.



# Audience Question

While managing subrecipients for multiple SAKI awards, which of the following has been the most challenging?

- A. Keeping track of programmatic activities separately by each subaward.
- B. Collecting performance and financial reports on regular basis.
- C. Maintaining complete subrecipient files and documentation.

# Financial – Best Practices

## Adequate Financial Accounting System and Internal Controls Should:

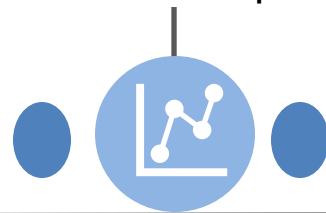
Establish and maintain separate accounting codes in your financial system that will enable separate identification and accounting for expenditures for each SAKI award.

Ensure charges to federal awards for salaries and wages are based on records that accurately reflect the work performed under each award.

Examples of items that may support salaries and wages can include timesheets, time and effort reports, or activity reports that have been certified by the employee and approved by a supervisor with firsthand knowledge of the work performed.

Maintain supporting documentation for all expenditures under each award separately, including procurement documentation, inventory of any equipment purchased with each SAKI grant, and invoices/receipts.

Ensure accurate budget to actuals are always maintained and communicate with your SAKI team (financial, programmatic, and grant personnel) to help your agency forecast the spend down of current SAKI funds under each award.



**Establish separate accounting codes**

**Track personnel costs under each SAKI award separately**

**Maintain Supporting Documentation**

**Forecast financial sustainability**

# Future of Your SAKI Work

## Program Continuity with SAKI Funding

- Will you achieve your goals within the current project period?
- Is additional funding needed to help achieve remaining goals?
- Do you want to develop your SAKI work further?
- What is the future of your partnerships?

## Program Sustainability Beyond SAKI Funding

- What does your work look like beyond SAKI funding?
- Are there mechanisms in place to ensure that progress achieved during your SAKI project continues?
- How do you want your work to grow beyond what was achieved with SAKI funding?

# Program Continuity with SAKI Funds

## Open internal communication and planning

- Ongoing assessment of the SAKI work under each grant.
- Regular and open conversations between programmatic and administrative/financial team members.
- Accurate tracking of budget to actual expenditures and spenddown rate.

## Considering future needs

- Evaluate the progress of your SAKI work under current grant(s): Are you on track to achieve your goals within the current project period?
- Project period extension vs additional funding?
  - Plan at least 1 year out from current end date.
  - Only one NCE up to 12 months.
- Which purpose area best fits your future SAKI needs?
- SAKI purpose areas 1–6.

## Communication with subrecipients

- Which partners should you consider for future SAKI work/funding?
- Does it make more sense for them to come in for funding on their own?



# Program Sustainability beyond SAKI Funds

## Future of the SAKI Work

- Policies and Procedures
- Leadership Buy-in
- Continuing SAKI Practices

## Mechanisms in Place

- Future of the MDT
- Victim Advocacy and Engagement
- Funding

## Program Growth

- Building on Your SAKI Work
- Where Else Can the SAKI Model Take You?

# Programs Office – Contact Information



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# Resources

## DOJ Financial Guide

- <https://www.ojp.gov/funding/financialguidedojo/overview>

## Office of the Chief Financial Officer (OCFO) Accounting Resources

- <https://www.ojp.gov/doj-financial-guide-2022>
- <https://www.ojp.gov/training-and-technical-assistance/tfsc>
- <https://www.ojp.gov/training-and-technical-assistance/tfsc/resources>

## DOJ Procurement Manual

- <https://www.ojp.gov/doj-guide-to-procurement-procedures>

## SAKI Sustainability/SMART Goals Session

- Video link: [https://youtu.be/9XD6\\_adJH9w](https://youtu.be/9XD6_adJH9w)

## Subrecipient Polices and Procedures Webinar

- <https://bja.ojp.gov/media/video/41256>

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- For information on funding opportunities, publications, and initiatives, visit **BJA’s website:** [www.bja.ojp.gov](http://www.bja.ojp.gov).





## Questions?

Enter in the Q&A box and send to All Panelists.

