

# Chapter 11: Reporting Requirements

## **HIGHLIGHTS OF CHAPTER:**

- Background
- Financial Status Reports
- Program Reports

## BACKGROUND

The Office of Justice Programs requires award recipients to submit both financial and program reports. These reports describe the status of the funds, the status of the project, a comparison of actual accomplishments to the objectives or other pertinent information. The specific requirements, reporting periods and submission deadlines are identified below.

Program Reports are generally due semiannually for Discretionary awards and annually for Block/Formula awards. The Financial Status Reports (SF 269A) are due every calendar quarter. All reports should include the award recipients's name, award number, reporting period, and the name of the person submitting the report. Final reports (financial and program reports) are due 120 days after the end of the award. "Yes" should be marked to indicate that this is a final report when appropriate. Future awards, fund drawdowns, and grant adjustments may be withheld if financial and program reports are delinquent.

Program report for awards issued through the Grants Management System (GMS) may be submitted directly into the GMS system. If GMS is not an option, the award recipients may submit their reports via e-mail as an attachment to [ASKOC@OJP.USDOJ.GOV](mailto:ASKOC@OJP.USDOJ.GOV) or fax at (202) 353-9279, (202) 353-8475, or (202) 616-5962. Questions concerning GMS may be addressed to the GMS Helpdesk at 1-888-549-9901.

## FINANCIAL STATUS REPORTS

These reports contain the actual expenditures and unliquidated obligations as incurred (at the lowest funding level) for the reporting period (calendar quarter) and, cumulative, for the award. The award recipients will report program outlays and revenue on a cash or accrual basis in accordance with their accounting system. OJP will not make new discretionary awards or payments on existing awards if the Financial Status Report (FSR), also known as the SF 269A, has not been filed within 45 days of the end of the most recently past quarterly reporting period. Grantees are encouraged to promptly submit such reports to avoid interruption of account services, e.g., if a request for a payment is received on June 1, then the preceding March 31 quarterly report must be on file at OJP; otherwise the payment request will be rejected.

The SF 269A must be filled out completely. In the event there are no outlays or program income to be reported, zeros must be entered in each section and the report should be submitted to OC. Grantees are also required to maintain adequate documentation to provide an audit trail that substantiates the amounts reported on each SF 269A as submitted. The final report is due 120 days after the end date of the award. A blank SF 269A and related instructions are included at the end of this chapter.

1. **Penalty for Non-Compliance.** Future awards, fund drawdowns, and grant adjustments will be withheld if the Financial Status Report information is delinquent.
2. **Subawards.** The State must report to the awarding agency the cumulative total Federal funds subawarded for the award being reported. This information is required on all block and formula awards and shall be reported in item 12 of the SF 269A.

NOTE: Financial Status Reports are not applicable to State Criminal Alien Assistance Program (SCAAP) awards.

## PROGRAM REPORTS

These reports are prepared in a narrative fashion in order to present information relevant to the performance of a plan, program, or project, and are due at the intervals noted below. Unless otherwise noted, the final report is due 120 days after the end date of the award.

**Penalty for Non-Compliance.** Beginning with the reporting periods ending on or after June 30, 2002, future awards, fund drawdowns, and grant adjustments will be withheld if progress reports are delinquent.

1. **Crime Control Act Block and Formula Funds—Annual Performance Reports.** The States shall submit annually to the Bureau of Justice Assistance (BJA) a report which contains information as required by the legislation and the Director. This report must be submitted to BJA no later than December 31 for the activities undertaken and results achieved during the prior Federal fiscal year.
2. **Narrative Report for Juvenile Justice Act (JJA) Formula Funds.** The reporting requirement of Sections 223(2) and 223(a)(22) may be met through the submission of the Annual Plan and its updates. The Annual Plan may provide a performance report on the previously planned activities utilizing JJA formula funds. Instructions for the preparation of the SF 424 by the State are contained in 28 CFR Part 31 and in the JUVENILE JUSTICE AND DELINQUENCY PREVENTION AWARD APPLICATION KIT. These documents are available from OJJDP.
3. **Crime Victims Compensation Program.** A State receiving funds for a crime victims compensation program will be required to submit an annual performance report on the effect the Federal funds had on the program. The report will be due by November 30 each year and must report on activities for the prior Federal fiscal year (October 1 through September 30). Please see the Crime Victims Compensation Guidelines for specific reporting instructions.
4. **Crime Victims Assistance Program.** Crime victims assistance program reporting requirements are set forth in the Victims Assistance Award Program Guidelines. The State crime victims assistance agency receiving Federal victims assistance award funds is required to submit a performance report 90 days after the end of each award. The performance report will provide information on the effect the Federal funds have had on services to crime victims in the State and serve as a basis for information prepared for the Report to Congress on the Victims of Crime Act (VOCA).
5. **Categorical Assistance Progress Report, OJP Form 4587/1.** This report is prepared twice a year and is used to describe the performance of activities or the accomplishment of objectives as set forth in the approved award application.

Reporting Period: Progress reports must be submitted within 30 days after the end of the reporting periods, which are June 30 and December 31 for the life of the award. The awarding agency may opt, by special condition to the award, to combine the first report into the subsequent reporting period. For example, if the begin date on the award is June 1, the awarding agency may opt to receive the first report 30 days after the December 31 reporting period.

6. **Special Reports.** In the review and approval process for plans and applications, it is sometimes necessary for the awarding agency to require that special or unique conditions be met in order to make an award. These special conditions will vary from award to award; however, acceptance of the award by the recipient/subrecipient constitutes an agreement that the conditions will be met either prior to the project or during the course of the award period. When this is the case, special reports on the meeting of these conditions are required for submittal to the awarding agency. They are prepared free form; however, the timing, content, and process for their submittal are detailed in the award package.

Note: Progress Reports are not applicable to State Criminal Alien Assistance Program (SCAAP) awards.

