



U.S. Department of Justice  
Office of Justice Programs  
*Office of Audit, Assessment, and Management*

# **FY 2009 OJP and COPS Office Programmatic and Financial Monitoring Levels**

Monitoring Oversight Report No. 10-01

March 2010

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## About This Report

The Office of Justice Programs, Office of Audit, Assessment, and Management (OAAM), Program Assessment Division prepared this report. For questions about this report, please contact Ms. Maureen Henneberg, Director of OAAM, at (202) 616-3282.

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## Acronyms

CMS	COPS Management System
GAT	Grant Assessment Tool
GMM	Grant Manager's Manual
GMS	Grants Management System
GMT	Grant Monitoring Tool
OAAM	Office of Audit, Assessment, and Management
COPS Office	Office of Community Oriented Policing Services
OCFO	Office of the Chief Financial Officer
OJP	Office of Justice Programs



## Introduction

The Office of Justice Programs (OJP) and the Office of Community Oriented Policing Services (COPS Office) in the U.S. Department of Justice administer grants to states and local communities to increase public safety, improve the fair administration of justice across America, and advance the practice of community policing. As a critical component of grant administration, grant monitoring is intended to ensure the fiscal and programmatic integrity and accountability of grantees. Currently, OJP and the COPS Office are responsible for conducting programmatic reviews of grant awards, interacting with grantees to provide technical assistance as needed, and conducting periodic on-site monitoring visits.

Recognizing the need for an increased emphasis on performance-based grant administration, Congress established the Office of Audit, Assessment, and Management (OAAM) as a central source of monitoring policy and oversight. Since FY 2007, OAAM has provided oversight of OJP and the COPS Office monitoring activities. OAAM provides monitoring oversight by tracking monitoring progress to ensure that program offices monitor at least 10 percent of their open award funds annually, as required by Public Law 109-162, "Violence Against Women and Department of Justice Reauthorization Act of 2005." Each year, OAAM reviews monitoring policies and procedures to ensure that they are up-to-date and in accordance with federal legislation and identifies improvements to monitoring policies and procedures. In addition to tracking program office monitoring activities, OAAM also tracks financial monitoring through the Office of the Chief Financial Officer (OCFO) throughout the fiscal year.

Throughout FY 2009, OAAM identified opportunities to improve grant monitoring processes and procedures through revised monitoring requirements. Specifically, for FY 2010, OAAM will implement an enhanced quality review process and continue to work with the Monitoring Working Group and grant managers to improve monitoring processes and procedures related to the Grant Assessment Tool (GAT) and the Grants Management System (GMS) Monitoring Module. In addition, OJP policy changes will be implemented in FY 2010 that will increase monitoring thresholds and requirements.

This report, "FY 2009 OJP and COPS Office Programmatic and Financial Monitoring," discusses the overall monitoring oversight process, including requirements and the overall monitoring statistics for OJP, the COPS Office, and OCFO. It also discusses



improvements to monitoring policies and procedures that will be implemented in FY 2010. Additionally, this report includes monitoring figures for individual program offices and provides detail on each office's performance in FY 2009.



## OJP and COPS Office Monitoring Process

Programmatic monitoring addresses the content and substance of programs by conducting desk reviews and site visits, and engaging in substantive grantee interaction. Each year, OJP and the COPS Office assess risk and performance of their grants, determine which grants are most in need of on-site monitoring, and plan site visit activities, accordingly. Throughout the year, grant managers conduct on-site monitoring visits to assess grantee performance and compliance with programmatic and federal grant administration requirements. OAAM tracks and reports on monitoring activities throughout the fiscal year to ensure that program offices monitor at least 10 percent of the total open and active award funding each year as required by Public Law 109-162, “Violence Against Women and Department of Justice Reauthorization Act of 2005.” OAAM refers to this 10 percent requirement as **target monitoring**.

### *Grant Assessments and Annual Monitoring Plan*

To ensure offices meet or exceed the monitoring target and in an effort to encourage priority-based monitoring decisions, OJP program offices and the COPS Office use the GAT to assess their open, active awards against a set of standard criteria at the beginning of each fiscal year. OJP program offices are required to assess a minimum of 50 percent of open, active awards in the GAT, however office leadership must provide appropriate justification if program offices choose to assess less than 100 percent of their awards.

To conduct a GAT assessment, grant managers provide responses to a set of standard risk indicators, and based on their answers, the GAT assigns a priority score and an associated monitoring priority of high, medium, or low. OJP program offices are required to make a monitoring decision for all assessed grants, and when doing so, are encouraged to use the monitoring priority as a guideline while exercising professional discretion regarding knowledge of the grant. Monitoring decisions for all completed assessments are recorded in the GAT, along with the assigned monitoring quarter.

The COPS Office maintains its own version of the GAT, using it to assess 100 percent of its open, active grants at the beginning of each fiscal year. The COPS Office version of the GAT is designed to utilize grant and organization-level data from multiple COPS feeder systems and databases to address assessment criteria similar to those used in OJP’s GAT. The COPS Office provides OJP with a monitoring plan based on monitoring decisions made in the GAT.



Monitoring decisions made through the GAT are the basis for the joint OJP and COPS Office annual programmatic monitoring plan, as generated by OAAM and approved by OJP and the COPS Office at the beginning of the fiscal year. OAAM appends OCFO planned financial monitoring site visit information to the programmatic monitoring plan and publishes the programmatic and financial monitoring plan on the OJP Grant Makers Portal. The total award amount on this plan at the beginning of the fiscal year is referred to as **planned monitoring**.

### ***Monitoring Activities and Quarterly Updates***

Throughout the fiscal year, grant managers conduct on-site monitoring visits, collecting pertinent administrative, financial, and program information to assess grantee performance and compliance with programmatic and federal grant administration requirements. After conducting a site visit, grant managers are required to complete a site visit report to document site visit activities and conclusions, and a post-site visit letter that outlines issues for resolution and recommendations, if applicable.

At the end of each quarter, grant managers are required to provide OAAM with updates on their monitoring activities through the GAT, for OJP program offices, or through a tracking spreadsheet, for the COPS Office. Grant managers provide updates for grants that were scheduled to be monitored in the current quarter, reporting these site visits as complete, moved to another quarter, or removed from the program office's monitoring plan. Offices can also add or remove site visits for future quarters, or make updates to grants monitored in prior quarters but not previously reported. At the end of each quarter, OCFO also provides OAAM with updates to their financial monitoring plan indicating whether site visits were completed, moved, or removed. OAAM publishes a revised monitoring plan after completing validation of quarterly monitoring updates.

### ***Site Visit Documentation and Verification***

OAAM reviews the information reported through the GAT and identifies site visits that are reported as complete. OAAM confirms that site visits are complete by verifying that the required site visit documentation is complete in GMS for OJP program offices, and by reviewing hardcopies of reports submitted to the COPS Management System (CMS) for the COPS Office. To track completed financial monitoring, OAAM uses a spreadsheet provided by OCFO that details the completed site visits and any changes to the original monitoring plan.

In Q3 of FY 2009, OAAM released the enhanced GMS Monitoring Module designed to improve the quality and completeness of site visit documentation. The enhancements to



the GMS Monitoring Module eliminated the need for OJP grant managers to complete and upload the Excel-based Grant Monitoring Tool (GMT), a template used to document site visit activities, to GMS. The enhanced GMS Monitoring Module incorporates GMT features and several functional improvements, including system workflow, which requires grant managers to send site visit reports and post-site visit letters to their supervisors for approval. OAAM verifies site visits as complete and credits them towards each program office's monitoring target if the appropriate documentation is submitted in GMS. Site visits reports and post-site visit letters are required to be completed and approved in GMS within 45 days of the end of the site visit.



## **FY 2010 Planned Activities**

### ***Improved Monitoring Activities***

In FY 2010, OAAM will work to improve site visit activities and documentation, GAT functionality, and the identification and resolutions of issues identified by grantees while on site. To continue to improve the quality and completeness of grant monitoring across OJP, in FY 2010, OAAM will revise the site visit report quality review process. The revised process will include a quality review evaluation form and examples for each section of the site visit report. The evaluation form will promote consistency of the review while the examples will highlight desired reporting standards. The results of the quality review will be communicated to program offices in an effort to facilitate continuous improvement of site visit documentation.

OAAM will work with the Monitoring Working Group in FY 2010 to identify and implement updates to the GAT in an effort to ensure it provides grant managers with the information needed to make their monitoring decisions and the functionality required to track their monitoring progress. OAAM will also work with the Monitoring Working Group to determine if the GAT desk review functionality allows grant managers to conduct and document informative desk reviews.

In FY 2010, OAAM will continue to work with grant managers on the identification and resolution of issues through a number of targeted trainings to further improve monitoring across OJP.

### ***OJP Policy Changes***

In addition to OAAM's planned improvements for 2010, OJP policy changes will further improve grant monitoring in FY 2010. In FY 2010, OAAM will begin tracking program office compliance with new OJP monitoring policies that serve to ensure that an adequate number of grants are being monitored each fiscal year and that grant funds awarded under the Recovery Act are being expended and monitored in accordance with the requirements of the Act. In FY 2010, OJP enhanced existing monitoring thresholds to include an additional requirement to monitor 10 percent of the total number of active grants.<sup>1</sup>

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<sup>1</sup> Due to the large number of open, active BJA awards, OJP will require BJA to monitor 5 percent of the number of open, active awards as of October 1, 2009.





This threshold will be in addition to OJP's statutory requirement to programmatically monitor at least 10 percent of its open, active award dollars. For example, if a program office has 200 open, active awards totaling \$540,000 as of October 1, 2009, it must conduct on-site monitoring visits for at least 20 separate awards totaling at least \$54,000.

The purpose of the additional threshold is to ensure that program offices are conducting monitoring site visits for an adequate number of grants. Although the aim of the 10 percent statutory requirement was to ensure that adequate on-site monitoring of OJP grant awards was being conducted, this requirement could be met by monitoring a small number of grantees with high dollar value awards. The new threshold levels will ensure that OJP is working towards improving grantee administrative, financial, and programmatic compliance and performance.

In addition to the enhancement of the overall monitoring policy, OJP implemented new monitoring requirements for grants awarded under the Recovery Act. With the enactment of the Recovery Act, OJP has additional responsibility to ensure transparency and accountability of the use of Recovery Act funds through sufficient monitoring. Beginning in FY 2010, in addition to completing an annual GAT desk review, grant managers will also be required to complete and upload the "Recovery Act Desk Review and Site Visit Checklist" addendum. The Recovery Act addendum outlines the new requirements of the Recovery Act and associated guidance from the Office of Management and Budget. Furthermore, to ensure that program offices are providing adequate oversight of Recovery Act grants, OJP implemented a policy requiring that program offices monitor 30 percent of their total Recovery Act grant funds awarded over the lifetime of the grants. To ensure the 30 percent threshold results in monitoring for an adequate number of grants, OJP will require grant managers to conduct on-site monitoring for at least 10 percent of the number of open and active Recovery Act grants per program, or at least one grant if there are fewer than 10 grants funded under the program, each year until all Recovery Act grants are closed.<sup>2</sup>

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<sup>2</sup> Due to the large number of open, active BJA Local Byrne Justice Assistance (Local Byrne/JAG) awards, OJP will require BJA to monitor 5 percent of the number of open, active Local Byrne/JAG awards as of October 1, 2009.



## FY 2009 OJP and COPS Office Overall Monitoring Statistics

In FY 2009, OJP program offices completed on-site programmatic monitoring for 1,031 grants, while the COPS Office conducted on-site monitoring for 100 grants. OJP and the COPS Office exceeded the 10 percent statutory requirement with OJP program offices monitoring 21 percent (\$1.40 billion) of their open, active award dollars and the COPS Office monitoring 11 percent (\$149.48 million). In addition, OCFO conducted financial monitoring for 369 grants, totaling \$856.39 million. Table 1 below displays FY 2009 monitoring results for OJP program offices, the COPS Office, and OCFO, based on award amounts and number of grants monitored throughout the fiscal year.

**Table 1. FY 2009 Completed Monitoring for OJP, COPS, and OCFO**

Office	Award Amount Monitored by Federal Employees (in Millions)	Number of Grants Monitored by Federal Employees
OJP	\$1,396.70	1,031
COPS	\$149.48	100
<b>Total Programmatic</b>	<b>\$1,546.18</b>	<b>1,131</b>
OCFO	\$856.39	369
<b>Total Programmatic and Financial</b>	<b>\$2,402.57</b>	<b>1,500</b>

### *FY 2008 vs. FY 2009 Monitoring Statistics*

As shown in Table 2 below, on-site monitoring, based on award dollars, varied for OJP program offices between FY 2008 and FY 2009. Overall, OJP monitored 34 percent of its open, active award dollars in FY 2008 compared to 21 percent in FY 2009. The COPS Office saw less variation; 12 percent of its open, active award dollars were monitored in FY 2008 and 11 percent of award dollars were monitored in FY 2009.



**Table 2. FY 2008 and FY 2009 Monitoring Completed as a Percent of the Total Award Amount for OJP and the COPS Office (in Millions)**

Bureau or Program Office	FY 2008 Grant Award Amount			FY 2009 Grant Award Amount		
	Total Award Amount of Open Grants at the Start of the FY	Award Amount Monitored by Federal Employees	Percent of Total Award Amount Monitored	Total Award Amount of Open Grants at the Start of the FY	Award Amount Monitored by Federal Employees	Percent of Total Award Amount Monitored
BJA	\$3,692.00	\$1,681.34	46%	\$3,041.77	\$518.31	17%
BJS	\$135.71	\$25.41	19%	\$135.95	\$45.55	34%
CCDO	\$71.27	\$13.43	19%	\$66.94	\$10.11	15%
NIJ	\$681.22	\$75.55	11%	\$702.36	\$122.12	17%
OJJDP	\$1,125.51	\$314.03	28%	\$1,141.32	\$493.93	43%
OVC	\$1,555.60	\$351.60	23%	\$1,597.96	\$197.92	12%
SMART*	N/A	N/A	N/A	\$28.73	\$8.76	30%
<b>OJP Total</b>	<b>\$7,261.31</b>	<b>\$2,461.35</b>	<b>34%</b>	<b>\$6,715.03</b>	<b>\$1,396.70</b>	<b>21%</b>
COPS	\$1,484.64	\$184.96	12%	\$1,346.32	\$149.48	11%

\* In FY 2008, the SMART Office was in the process of making its initial awards, which were scheduled to be monitored in FY 2009. Therefore, the SMART Office did not monitor grants in FY 2008.

In addition to reviewing the award dollars monitored relative to the 10 percent target, OAAM reviewed the number of grants monitored in FY 2008 and FY 2009. Although there were no requirements in FY 2008 and FY 2009 to monitor a certain number of grants, program offices will be required to provide on-site monitoring for at least 10 percent of the number, in addition to 10 percent of the award dollars of their open, active grants in FY 2010. Table 3 below details the number of grants monitored in FY 2008 and FY 2009 for OJP program offices, and the COPS Office.



**Table 3. FY 2008 and FY 2009 Monitoring by Number of Grants for OJP and the COPS Office**

Bureau or Program Office	FY 2008 Number of Grants			FY 2009 Number of Grants		
	Total Number of Open Grants at the Start of the FY	Number of Grants Monitored by Federal Employees	Percent of Grants Monitored	Total Number of Open Grants at the Start of the FY	Number of Grants Monitored by Federal Employees	Percent of Grants Monitored
BJA	5,680	689	12%	5,840	357	6%
BJS	201	36	18%	215	25	12%
CCDO	294	67	23%	324	62	19%
NIJ	1,004	18	2%	1,109	38	3%
OJJDP	1,330	316	24%	1,597	460	29%
OVC	460	110	24%	498	86	17%
SMART*	N/A	N/A	N/A	110	3	3%
<b>OJP Total</b>	<b>8,969</b>	<b>1,236</b>	<b>14%</b>	<b>9,693</b>	<b>1,031</b>	<b>11%</b>
COPS	2,768	75	3%	2,753	100	4%

\*The SMART Office did not monitor grants in FY 2008. In FY 2008, SMART was in the process of making its initial awards, which were scheduled to be monitored in FY 2009.



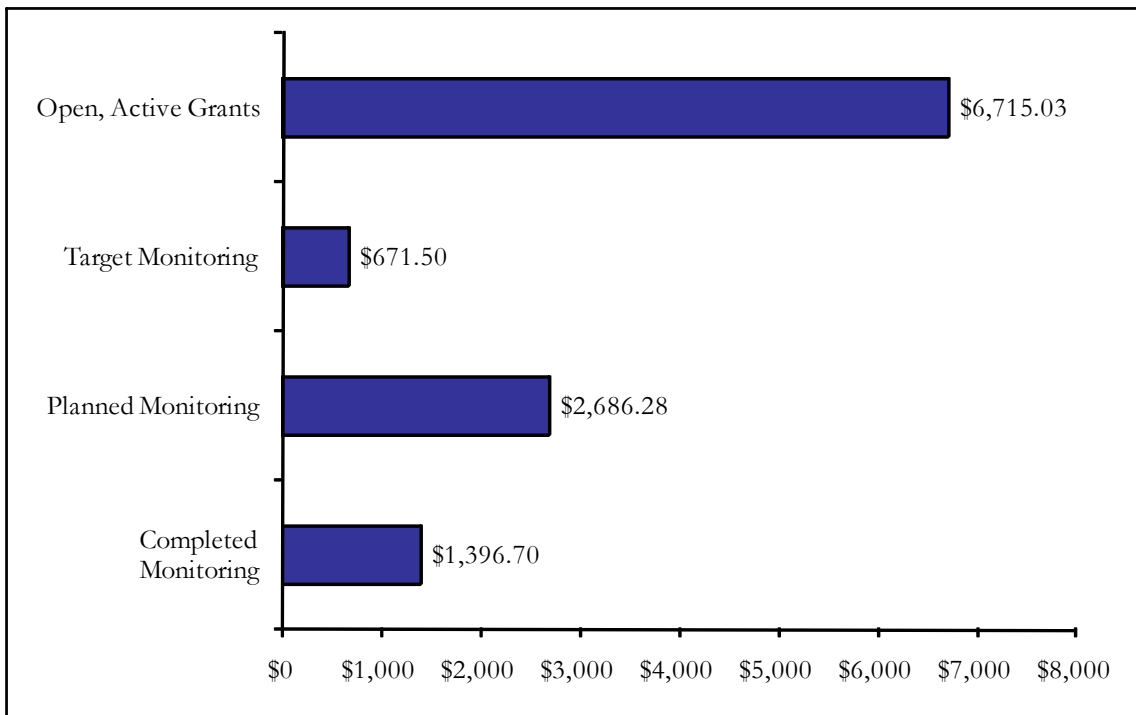
## FY 2009 OJP Monitoring Statistics

### *Target, Planned, and Completed Monitoring*

At the beginning of FY 2009, OJP had 9,693 open, active grants totaling \$6,715,027,399. Based on the 10 percent statutory requirement, the monitoring target level was \$671.50 million. During the FY 2009 assessment period, October 9 to November 21, 2008, OJP assessed 7,793 grants, of which 5,250 were required for assessment as determined by the eligibility criteria set prior to the assessment period. Based on the assessment of the 7,793 grants, program offices developed monitoring plans for on-site monitoring of 1,891 grants, totaling \$2.69 billion.

By the end of FY 2009, OJP program offices completed on-site monitoring of 1,031 grants totaling \$1.40 billion. The completed monitoring exceeded the target by 108 percent (\$725.20 million) but was 48 percent (\$1.29 billion) less than originally planned. Figure 1 below shows the FY 2009 award amount and monitoring levels for OJP.

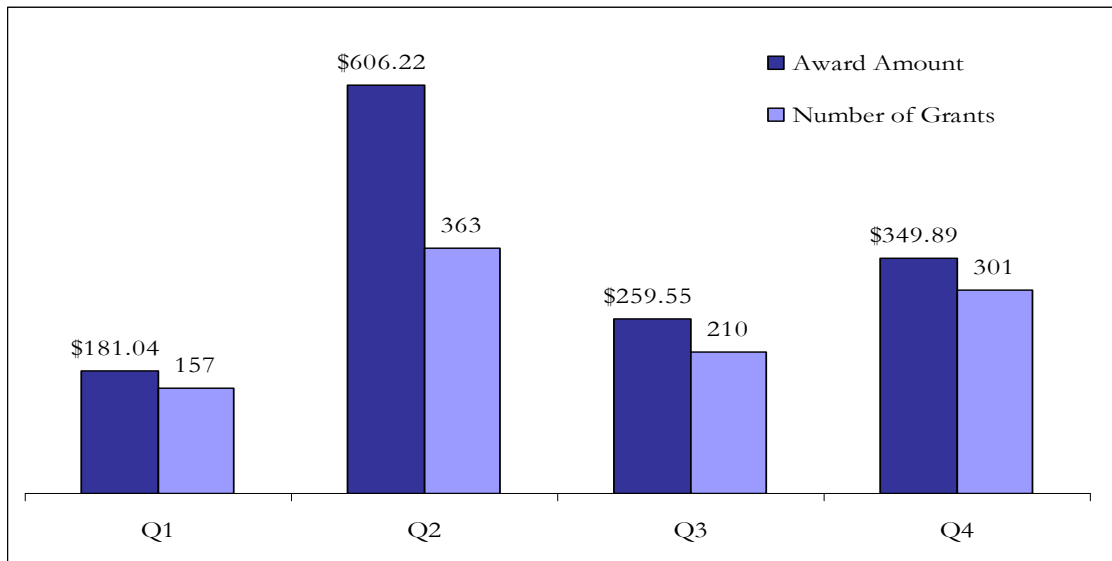
**Figure 1. FY 2009 OJP Award and Monitoring Amounts (in Millions)**





OAAM tracked completed on-site monitoring for each OJP program office on a quarterly basis. As shown in Figure 2, a large portion of on-site monitoring occurred in the second quarter, where 363 grants, totaling \$606.22 million, were monitored.

**Figure 2. FY 2009 OJP Award Amount (in Millions) and Total Number of Grants Monitored by Quarter**



Each program office within OJP individually exceeded the 10 percent monitoring target by the end of FY 2009. Table 4 presents the OJP program office's target monitoring levels, and completed monitoring.

**Table 4. FY 2009 Target and Completed Programmatic Monitoring by OJP Program Office**

Office	Monitoring Target (10%)	Monitoring Completed	Exceeded Target By	Percent Exceeded Target By
	(in Millions)			
BJA	\$304.18	\$518.31	\$214.13	70%
BJS	\$13.59	\$45.55	\$31.96	235%
CCDO	\$6.69	\$10.11	\$3.42	51%
NIJ	\$70.24	\$122.12	\$51.88	74%
OJJDP	\$114.13	\$493.93	\$379.80	333%
OVC	\$159.80	\$197.92	\$38.12	24%
SMART	\$2.87	\$8.76	\$5.89	205%
<b>Total</b>	<b>\$671.50</b>	<b>\$1,396.70</b>	<b>\$725.20</b>	<b>108%</b>



***Monitoring Priority***

When conducting assessments in the GAT, grant managers assess their open, active awards against a set of standard risk indicators, and based on their responses, the GAT assigns a priority score and an associated monitoring priority of high, medium, or low. Grant managers use the monitoring priority as a guideline, and exercise professional discretion regarding knowledge of the grant when making a monitoring decision. In FY 2009, OJP grant managers assessed 7,793 grants, which resulted in a high monitoring priority rating for 423 grants, a medium priority rating for 1,603 grants, and a low priority rating for 5,767 grants. Of the 423 grants identified as a high monitoring priority, 132 (31%) were monitored in FY 2009. Fifteen percent of medium priority grants were monitored while 11 percent of low priority grants were monitored. Table 5 below details the monitoring priority of assessed grants, grants planned for monitoring, and grants monitored in FY 2009.

**Table 5. FY 2009 OJP Number of Grants Assessed, Planned, and Monitored by Monitoring Priority**

Monitoring Priority	Number of Grants by Monitoring Priority	Number of Grants Planned by Monitoring Priority	Number of Grants Monitored by Priority*	Percent of Grants Monitored by Monitoring Priority
High	423	203	132	31%
Medium	1,603	569	240	15%
Low	5,767	1,119	609	11%
<b>Total</b>	<b>7,793</b>	<b>1,891</b>	<b>981</b>	

\*This figure represents the number of grants monitored that were also assessed. Several grants were monitored that were not assessed at the beginning of the fiscal year.



In FY 2009, 981 grants were monitored that had an assigned monitoring priority based on the GAT assessment completed at the beginning of the year. Of the 981 grants that were assessed and monitored 13 percent were identified as a high monitoring priority, 25 percent a medium, and 62 percent low.

**Table 6. FY 2009 OJP Number of Grants Assessed and Monitored by Monitoring Priority**

Monitoring Priority	Number of Grants by Monitoring Priority	Number of Grants Monitored by Priority*	Percent of Total Grants Monitored by Monitoring Priority
High	423	132	13%
Medium	1,603	240	25%
Low	5,767	609	62%
<b>Total</b>	<b>7,793</b>	<b>981</b>	<b>100%</b>

\*This figure represents the number of grants monitored that were also assessed. Several grants were monitored that were not assessed at the beginning of the fiscal year.

### ***GMS Monitoring Module Transition***

Prior to the release of the enhanced GMS Monitoring Module on May 22, 2009, OJP grant managers were required to use the GMT to document their site visit activities, including a site visit checklist, site visit report, and a post-site visit letter. OJP program offices were required to upload data from the GMT to GMS within 45 days of the site visit end date in order for OAAM to validate the site visit as complete. For site visits conducted after the release of the enhanced GMS Monitoring Module, OJP grant managers were encouraged to submit a site visit report and post-site visit letter as part of the site visit package in GMS within 45 calendar days of the site visit end date. In FY 2009, OAAM considered site visits as complete if the GMS Site Visit Package Status was “Approved,” or if the Site Visit Package status was “Pending” and the Site visit report was “Finalized.”

Table 7 below displays OJP’s compliance with monitoring module requirements by quarter. Some program offices did not adhere to the required guidelines of using the GMT template or the GMS Monitoring Module and uploaded site visit reports in an Adobe.pdf file or WordPad file. These are noted in the table below as “Other Documentation.”





**Table 7. FY 2009 OJP GMT vs. GMS Monitoring Module Usage by Quarter**

Monitoring Module	Q1	Q2	Q3	Q4	Total
GMT Upload	157	362	101	27	647
GMS Module	0	1*	101	273	375
Other Documentation	0	0	8	1	9
<b>Total</b>	<b>157</b>	<b>363</b>	<b>210</b>	<b>301</b>	<b>1,031</b>

\* BJS conducted a site visit for a grant in Q2; however, the corresponding monitoring report was not completed and validated until Q4, at which time BJS was able to complete the site visit report using the GMS Monitoring Module.

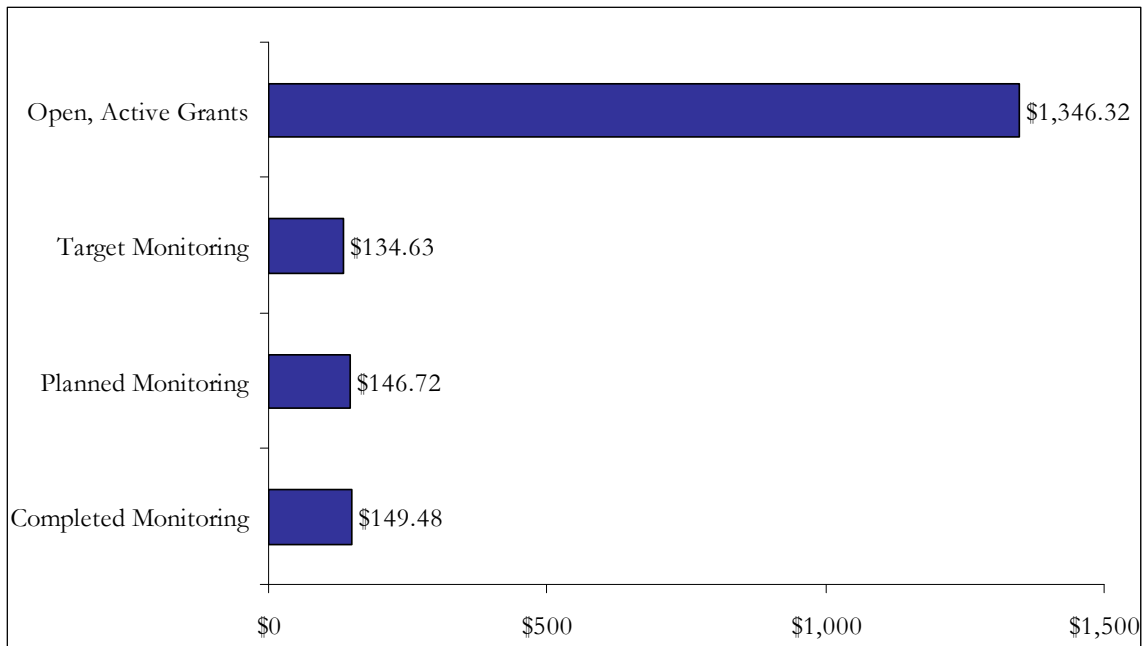


## FY 2009 COPS Office Monitoring Statistics

At the beginning of FY 2009, the COPS Office had 2,753 open, active grants totaling \$1,346,323,218 in award funding. Based on the 10 percent statutory requirement, the monitoring target for the COPS Office was \$134.63 million. During the assessment period, the COPS Office assessed all of their open, active grants. Based on the assessment of the 2,753 open, active grants, the COPS Office developed a monitoring plan for on-site monitoring of 103 grants, totaling \$146.72 million.

By the end of the fiscal year, the COPS Office completed on-site monitoring of 100 grants totaling \$149.48 million. The completed monitoring exceeded the target by 11 percent (\$14.85 million) and exceeded the originally planned amount by 2 percent (\$2.78 million). Figure 3 below displays the FY 2009 award and monitoring amounts for the COPS Office.

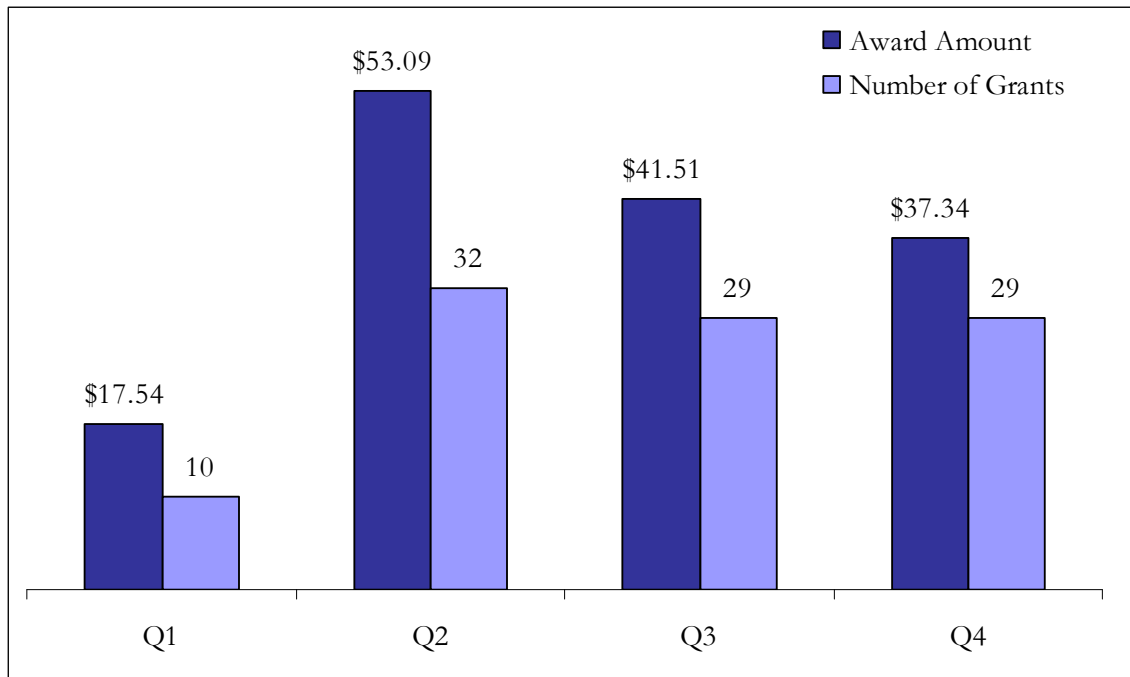
**Figure 3. FY 2009 COPS Office Award and Monitoring Amounts (in Millions)**



OAAM tracked completed on-site monitoring visits for the COPS Office on a quarterly basis. The COPS Office met and exceeded its 10 percent monitoring target in the fourth quarter of the fiscal year. Figure 4 shows the number of grants and the award amount of grants monitored each quarter throughout the fiscal year.



**Figure 4. FY 2009 COPS Office Award Amount (in Millions) and Total Number of Grants Monitored by Quarter**



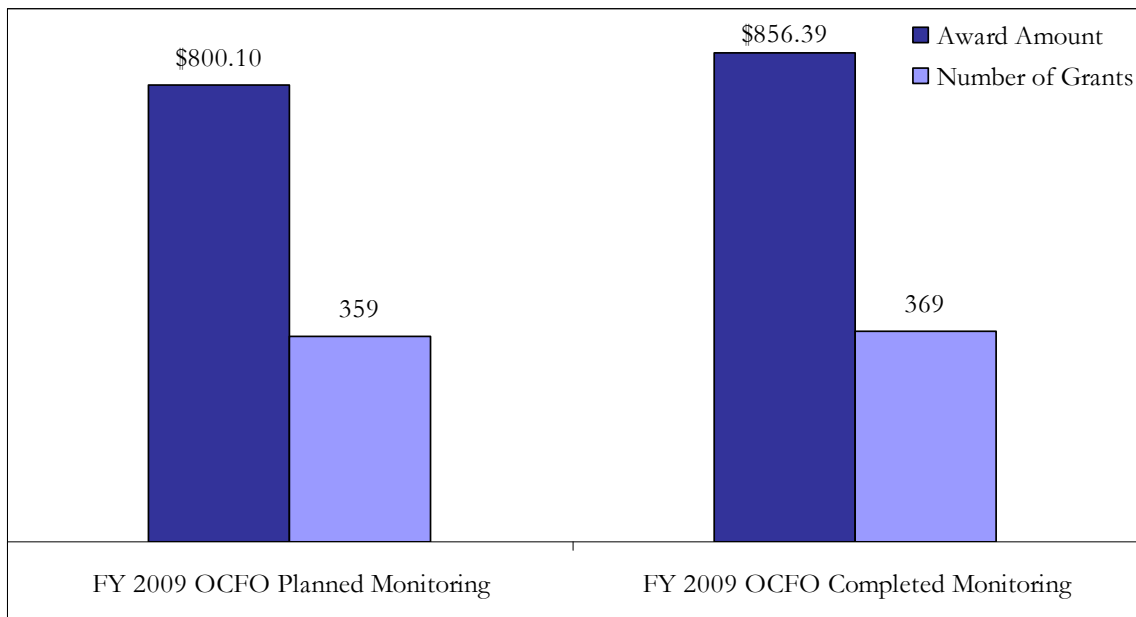


## FY 2009 OCFO Monitoring Statistics

In addition to overseeing OJP and the COPS Office programmatic monitoring activities, OAAM tracked financial monitoring conducted by OCFO. At the beginning of the fiscal year, OCFO selected grants for the monitoring plan by applying risk-based criteria to the population of open, active OJP and COPS Office grants. In addition, OCFO added grants recommended by OJP program offices and the COPS Office to its monitoring plan. Lastly, to ensure that all grants had an opportunity to be reviewed, OCFO selected a random sample from the remaining grants. In FY 2009, OCFO planned to conduct financial monitoring of 359 grants, totaling \$800.10 million.

By the end of the fiscal year, OCFO had completed on-site monitoring of 369 grants totaling \$856.39 million. The completed monitoring exceeded the planned monitoring by approximately 7 percent (\$56.29 million). Figure 5 below shows the FY 2009 planned and completed monitoring by award amount and total number of grants.

**Figure 5. FY 2009 OCFO Planned and Completed Financial Monitoring Award Amount (in Millions) and Total Number of Grants**





## Bureau of Justice Assistance

### *Monitoring Statistics*

At the beginning of FY 2009, the Bureau of Justice Assistance (BJA) had 5,840 open, active grants, totaling \$3,041,769,272. The 10 percent monitoring target for BJA was \$304.18 million. During the FY 2009 assessment period, BJA assessed 4,501 grants, of which 2,275 were required for assessment as determined by the eligibility criteria. Based on the assessment of 4,501 grants, BJA developed a monitoring plan for on-site monitoring of 982 grants, totaling \$1.41 billion.

By the end of the fiscal year, BJA completed on-site monitoring of 357 grants totaling \$518.31 million. The completed monitoring exceeded the target by 70 percent (\$214.13 million) but was 63 percent (\$893.42 million) less than originally planned. Figure 6 below shows the FY 2009 award amount and monitoring levels for BJA.

**Figure 6. FY 2009 BJA Award and Monitoring Amounts (in Millions)**

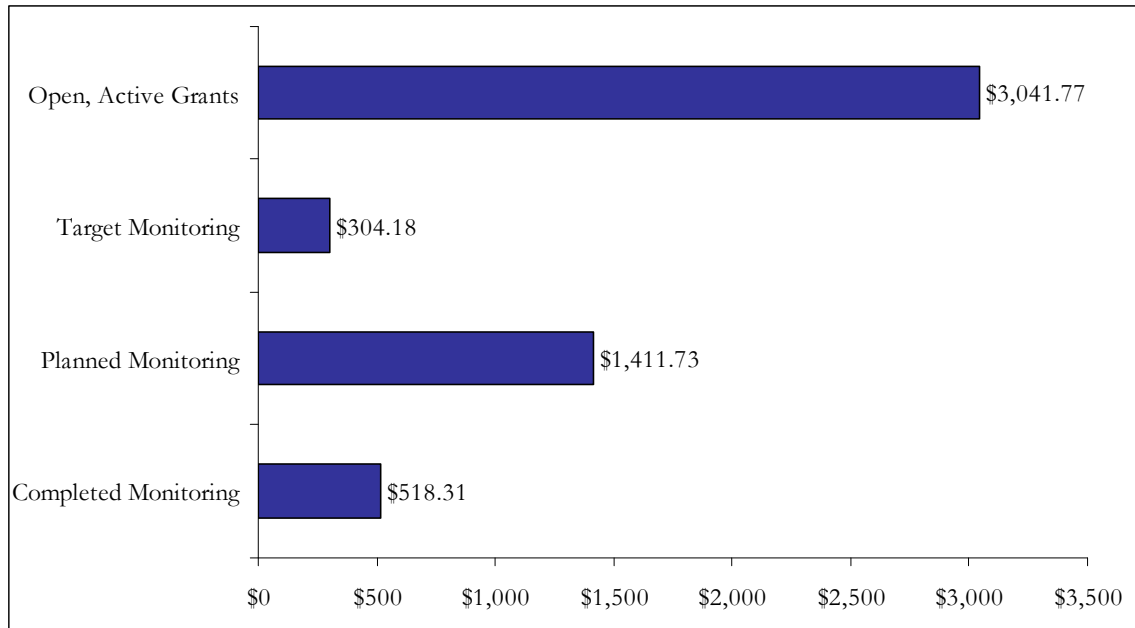
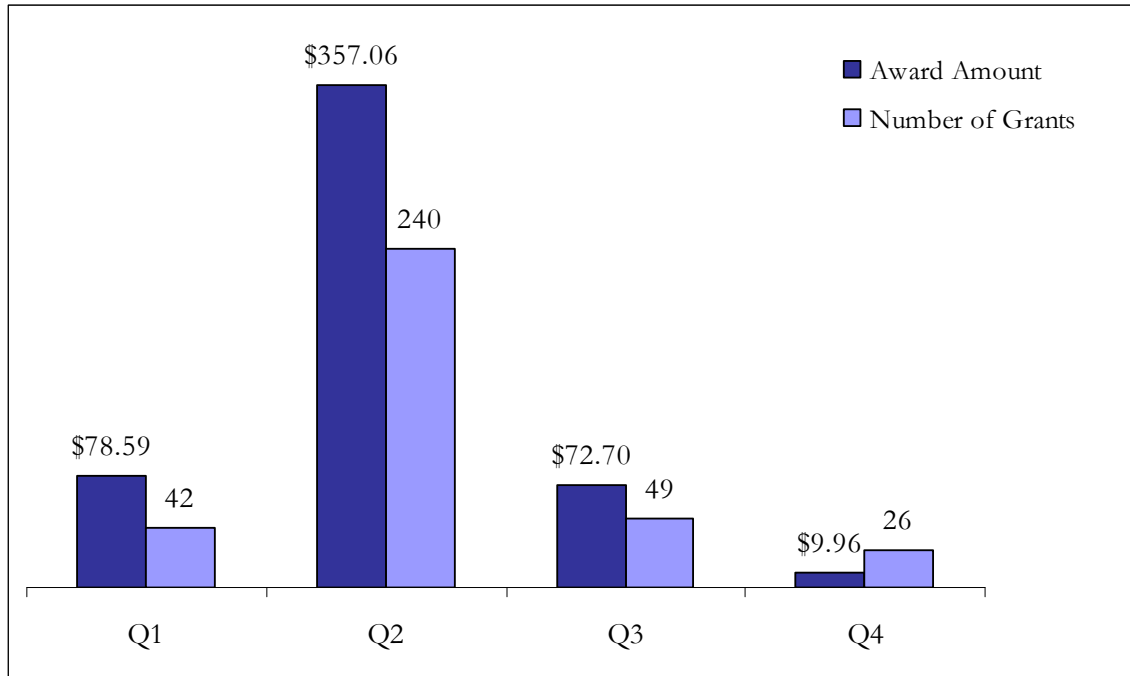


Figure 7 shows BJA's FY 2009 monitoring progress by quarter. In Q2, BJA monitored 240 grants totaling \$357.06 million in grant dollars, which was significantly higher than grants monitored in other quarters.



**Figure 7. FY 2009 BJA Award Amount (in Millions) and Total Number of Grants Monitored by Quarter**



***Monitoring Priority***

When conducting assessments in the GAT, grant managers assess their open, active awards against a set of standard risk indicators and based on their responses, the GAT assigns a priority score and an associated monitoring priority of high, medium, or low. In FY 2009, BJA grant managers assessed 4,501 grants, which resulted in a high monitoring priority rating for 180 grants, a medium priority rating for 1,045 grants, and a low priority rating for 3,276 grants. Of the 180 grants identified as a high monitoring priority, 35 (19%) were monitored in FY 2009. Thirteen percent of medium priority grants were monitored while 5 percent of low priority grants were monitored. Table 8 below details the monitoring priority of assessed grants, grants planned for monitoring, and grants monitored in FY 2009.



**Table 8. FY 2009 BJA Number of Grants Assessed, Planned, and Monitored by Monitoring Priority**

Monitoring Priority	Number of Grants by Monitoring Priority	Number of Grants Planned by Monitoring Priority	Percent of Grants Planned by Monitoring Priority	Number of Grants Monitored by Priority*	Percent of Grants Monitored by Monitoring Priority
High	180	67	37 %	35	19%
Medium	1,045	379	36%	140	13%
Low	3,276	536	16%	168	5%
<b>Total</b>	<b>4,501</b>	<b>982</b>	<b>22%</b>	<b>343</b>	

\*This figure represents the number of grants monitored that were also assessed. Several grants were monitored that were not assessed at the beginning of the fiscal year.

***GMS Monitoring Module Transition***

As reflected in Table 9, all site visit documentation for grants monitored by BJA in the first and second quarters was completed using the GMT. The number of site visit reports completed using the GMT decreased in the third quarter once site visit reporting functions became available in the enhanced GMS Monitoring Module. During the third quarter, the GMT was used only 20 percent of the time compared to the GMS Monitoring Module being used 65 percent of the time. BJA did not consistently adhere to the requirement to document site visit activities using the GMT or the GMS Monitoring Module and uploaded Adobe.pdf and WordPad file documents to GMS for seven Q3 on-site monitoring visits. These are noted in the table below as “Other Documentation.” By the fourth quarter, GMS Monitoring Module usage increased to 96 percent with the usage of GMT at 4 percent.



**Table 9. FY 2009 BJA GMT vs. GMS Monitoring Module Usage by Quarter**

<b>BJA</b>					
<b>Monitoring Module</b>	<b>Q1</b>	<b>Q2</b>	<b>Q3</b>	<b>Q4</b>	<b>FY Total</b>
GMT Upload	42	240	10	1	<b>293</b>
GMS Module	0	0	32	25	<b>57</b>
Other Documentation	0	0	7	0	<b>7</b>
<b>Total</b>	<b>42</b>	<b>240</b>	<b>49</b>	<b>26</b>	<b>357</b>





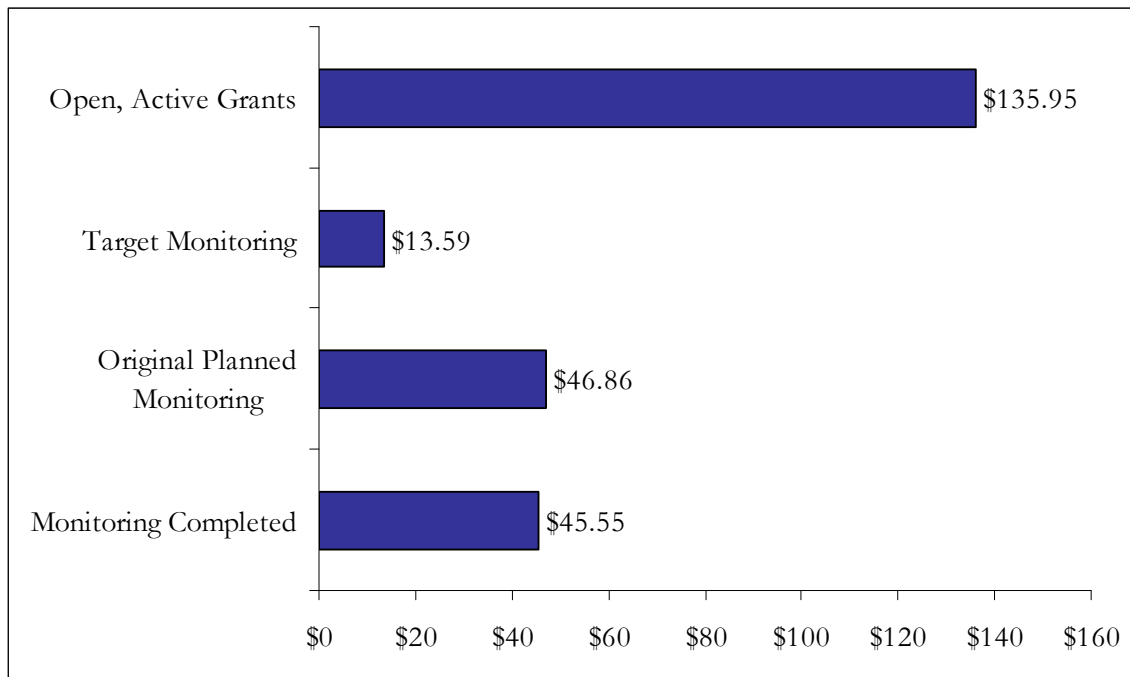
## Bureau of Justice Statistics

### *Monitoring Statistics*

At the beginning of FY 2009, the Bureau of Justice Statistics (BJS) had 215 open, active grants totaling \$135,945,233. The 10 percent monitoring target for BJS was \$13.59 million. During the assessment period, BJS assessed 214 grants, which were all required for assessment as determined by the eligibility requirement. Based on the assessment of 214 grants, BJS planned to monitor 25 grants, totaling \$46.86 million.

By the end of the fiscal year, BJS completed on-site monitoring of 25 grants totaling \$45.55 million. The completed monitoring exceeded the target by 235 percent (\$31.96 million), but was 3 percent (\$1.31 million) less than originally planned. Figure 8 shows the FY 2009 award amount and monitoring levels for BJS.

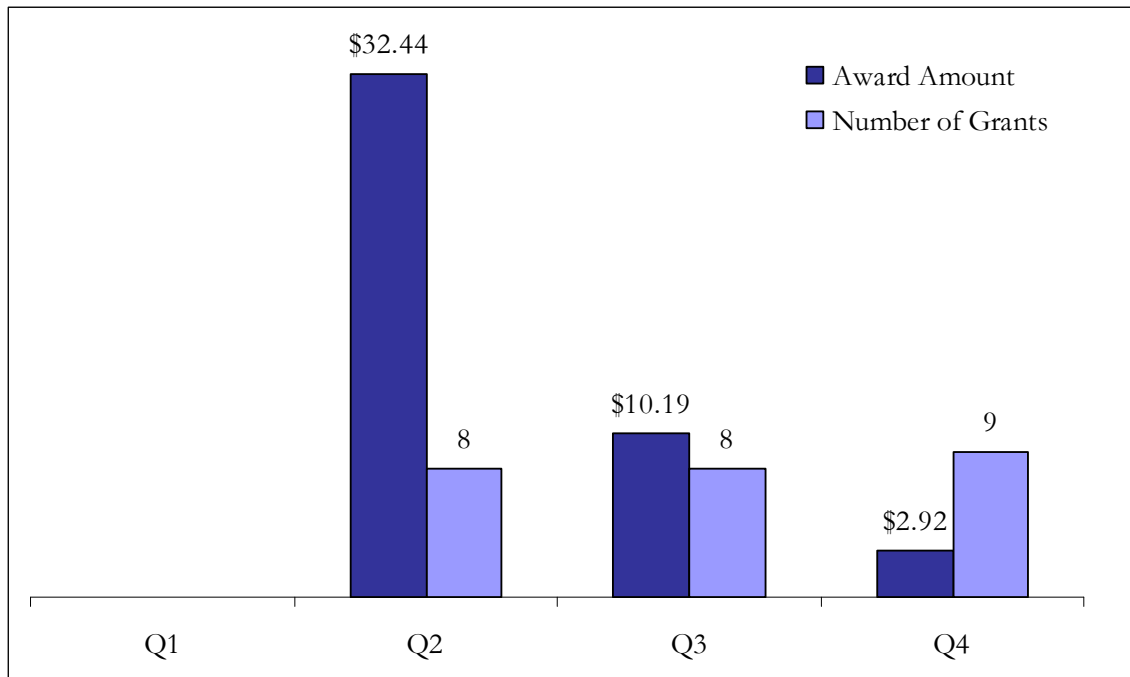
**Figure 8. FY 2009 BJS Award and Monitoring Amounts (in Millions)**



In FY 2009, BJS did not monitor any grants in Q1. However, as reflected in Figure 9, BJS monitored a consistent number of grants from Q2 through Q4. Although the number of grants monitored was consistent across these quarters, site visits for 71 percent of the total award dollars monitored were completed in Q2.



**Figure 9. FY 2009 BJS Award Amount (in Millions) and Total Number of Grants Monitored by Quarter**



### ***Monitoring Priority***

When conducting assessments in the GAT, grant managers assess their open, active awards against a set of standard risk indicators and based on their responses, the GAT assigns a priority score and an associated monitoring priority of high, medium, or low. In FY 2009, BJS grant managers assessed 214 grants, which resulted in a high monitoring priority rating for 48 grants, a medium priority rating for 9 grants, and a low priority rating for 157 grants. Of the 48 grants identified as a high monitoring priority, 14 (29%) were monitored in FY 2009. Eleven percent of medium priority grants were monitored while 6 percent of low priority grants were monitored. Table 10 below details the monitoring priority of assessed grants, grants planned for monitoring, and grants monitored in FY 2009.



**Table 10. FY 2009 BJS Number of Grants Assessed, Planned, and Monitored by Monitoring Priority**

Monitoring Priority	Number of Grants by Monitoring Priority	Number of Grants Planned by Monitoring Priority	Percent of Grants Planned by Monitoring Priority	Number of Grants Monitored by Priority	Percent of Grants Monitored by Monitoring Priority
High	48	16	33%	14	29%
Medium	9	1	11%	1	11%
Low	157	8	5%	10	6%
<b>Total</b>	<b>214</b>	<b>25</b>	<b>12%</b>	<b>25</b>	

***GMS Monitoring Module Transition***

Table 11 below shows BJS' compliance with monitoring module requirements by quarter. BJS fully transitioned to using the enhanced GMS Monitoring Module for site visit documentation by the third quarter.

**Table 11. FY 2009 BJS GMT vs. GMS Monitoring Module Usage by Quarter**

Monitoring Module	BJS				FY Total
	Q1	Q2	Q3	Q4	
GMT Upload	0	7	0	0	7
GMS Module	0	1*	8	9	18
<b>Total</b>	<b>0</b>	<b>8</b>	<b>8</b>	<b>9</b>	<b>25</b>

\* BJS conducted a site visit for a grant in Q2; however, the corresponding monitoring report was not completed and validated until Q4. By Q4, the GMS Monitoring Module was available; therefore, BJS used the GMS Monitoring Module to document the site visit information.



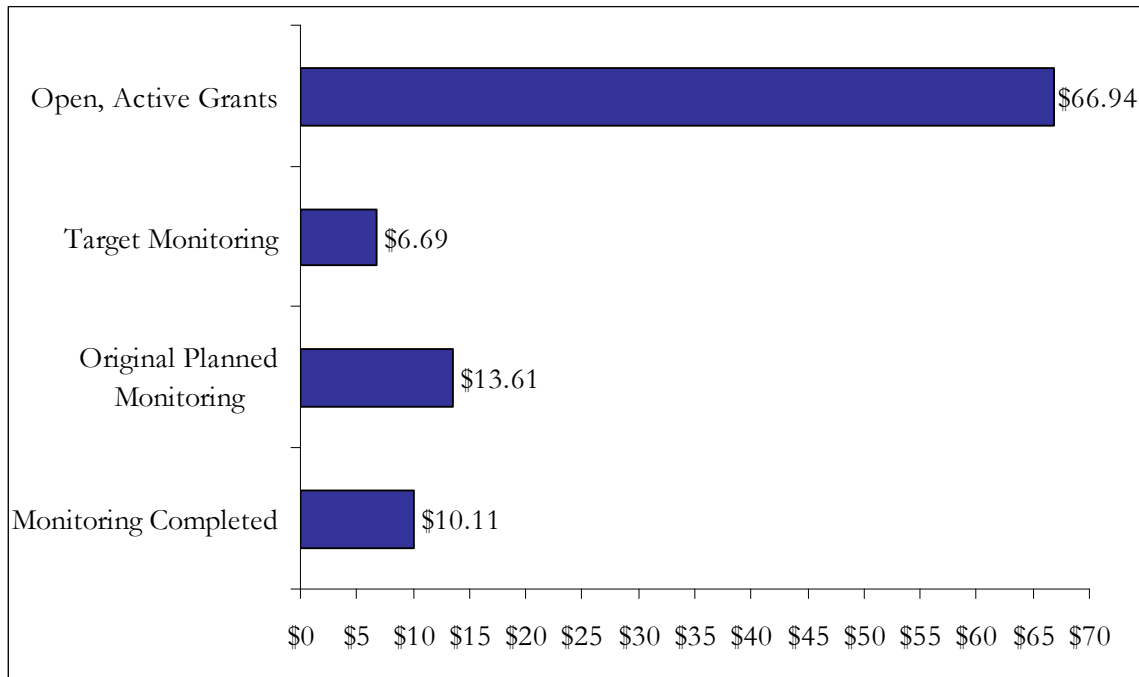
# Community Capacity Development Office

## *Monitoring Statistics*

At the beginning of FY 2009, the Community Capacity Development Office (CCDO) had 324 open, active grants, totaling \$66,943,400. Therefore, the 10 percent monitoring target for CCDO was \$6.69 million. During the assessment period, CCDO assessed all of its open, active grants, as determined by the eligibility criteria. Based on the assessment of 324 grants, CCDO developed a monitoring plan for on-site monitoring of 83 grants, totaling \$13.61 million.

By the end of the fiscal year, CCDO completed on-site monitoring of 62 grants totaling \$10.11 million. The completed monitoring exceeded the target by 51 percent (\$3.42 million), but was 26 percent (\$3.50 million) less than originally planned. Figure 10 below shows the FY 2009 award amount and monitoring levels for CCDO.

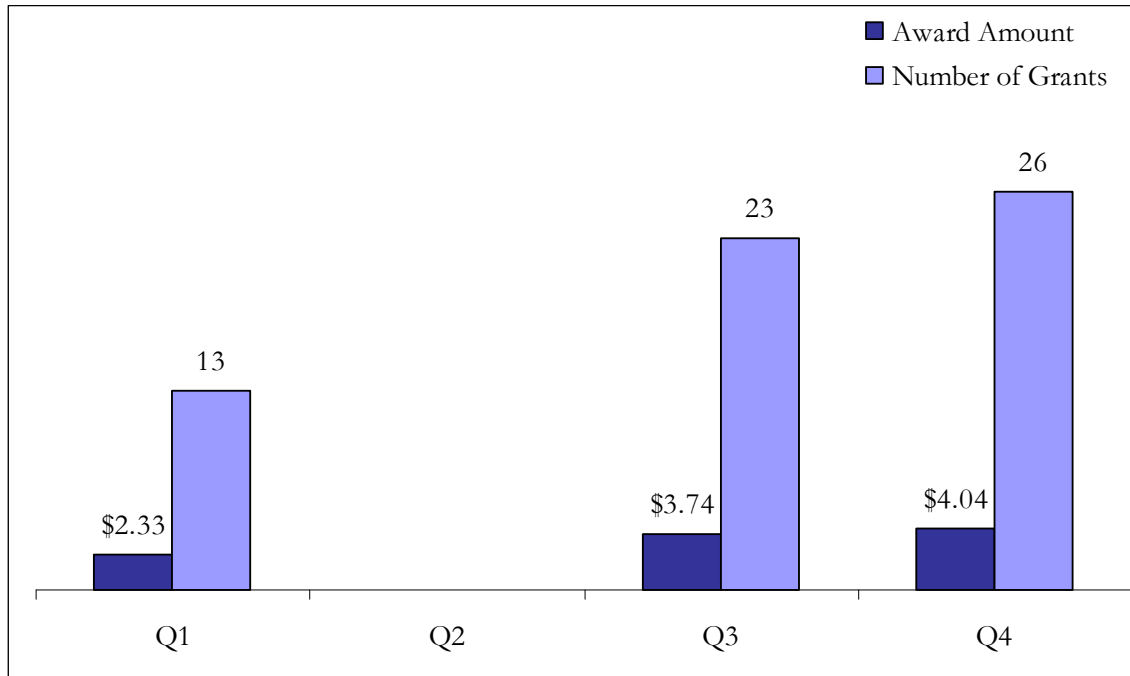
**Figure 10. FY 2009 CCDO Award and Monitoring Amounts (in Millions)**





As shown in Figure 11, CCDO monitoring progress varied across all quarters. No grants were monitored in Q2 and the majority of grant monitoring occurred in the third and fourth quarters. The greatest number of grants and award dollars were monitored in Q4 when 26 grants were monitored, totaling \$4.04 million.

**Figure 11. FY 2009 CCDO Award Amount (in Millions) and Total Number of Grants Monitored by Quarter**



### ***Monitoring Priority***

When conducting assessments in the GAT, grant managers assess their open, active awards against a set of standard risk indicators and based on their responses, the GAT assigns a priority score and an associated monitoring priority of high, medium, or low. In FY 2009, CCDO grant managers assessed 324 grants, which resulted in a high monitoring priority rating for 28 grants, a medium priority rating for 45 grants, and a low priority rating for 251 grants. Of the 28 grants identified as a high monitoring priority, 4 (14%) were monitored in FY 2009. Thirty-eight percent of medium priority grants were monitored while 16 percent of low priority grants were monitored. Table 12 below details the monitoring priority of assessed grants, grants planned for monitoring, and grants monitored in FY 2009.



**Table 12. FY 2009 CCDO Number of Grants Assessed, Planned, and Monitored by Monitoring Priority**

Monitoring Priority	Number of Grants by Monitoring Priority	Number of Grants Planned by Monitoring Priority	Percent of Grants Planned by Monitoring Priority	Number of Grants Monitored by Priority*	Percent of Grants Monitored by Monitoring Priority
High	28	6	21%	4	14%
Medium	45	16	36%	17	38%
Low	251	61	24%	39	16%
<b>Total</b>	<b>324</b>	<b>83</b>	<b>26%</b>	<b>60</b>	

\*This figure represents the number of grants monitored that were also assessed. Several grants were monitored that were not assessed at the beginning of the fiscal year.

***GMS Monitoring Module Transition***

As reflected in Table 13, all grants monitored in the first quarter by CCDO were uploaded in the GMT system. Utilization of the GMT decreased in the third quarter once site visit monitoring reporting functions became available in the enhanced GMS Monitoring Module. By the third quarter, GMS Monitoring Module usage was at 91 percent with the GMT usage at 9 percent. In the fourth quarter, GMS Monitoring Module usage increased to 96 percent.

**Table 13. FY 2009 CCDO GMT vs. GMS Monitoring Module Usage by Quarter**

Monitoring Module	CCDO				FY Total
	Q1	Q2	Q3	Q4	
GMT Upload	13	0	2	0	15
GMS Module	0	0	21	25	46
Other Documentation	0	0	0	1	1
<b>Total</b>	<b>13</b>	<b>0</b>	<b>23</b>	<b>26</b>	<b>62</b>



# National Institute of Justice

## *Monitoring Statistics*

At the beginning of FY 2009, the National Institute of Justice (NIJ) had 1,109 open, active grants, totaling \$702,361,722. The 10 percent monitoring target for NIJ was \$70.24 million. During the FY 2009 assessment period, NIJ assessed 1,090 grants, which were all required for assessment as determined by the eligibility criteria. Based on the assessment of 1,090 grants, NIJ developed monitoring plans for on-site monitoring of 79 grants, totaling \$150.83 million.

By the end of the fiscal year, NIJ completed on-site monitoring of 38 grants totaling \$122.12 million. The completed monitoring exceeded the target by 74 percent (\$51.88 million) but was 19 percent (\$28.71 million) less than originally planned. Figure 12 below shows the FY 2009 award amount and monitoring levels for NIJ.

**Figure 12. FY 2009 NIJ Award and Monitoring Amounts (in Millions)**

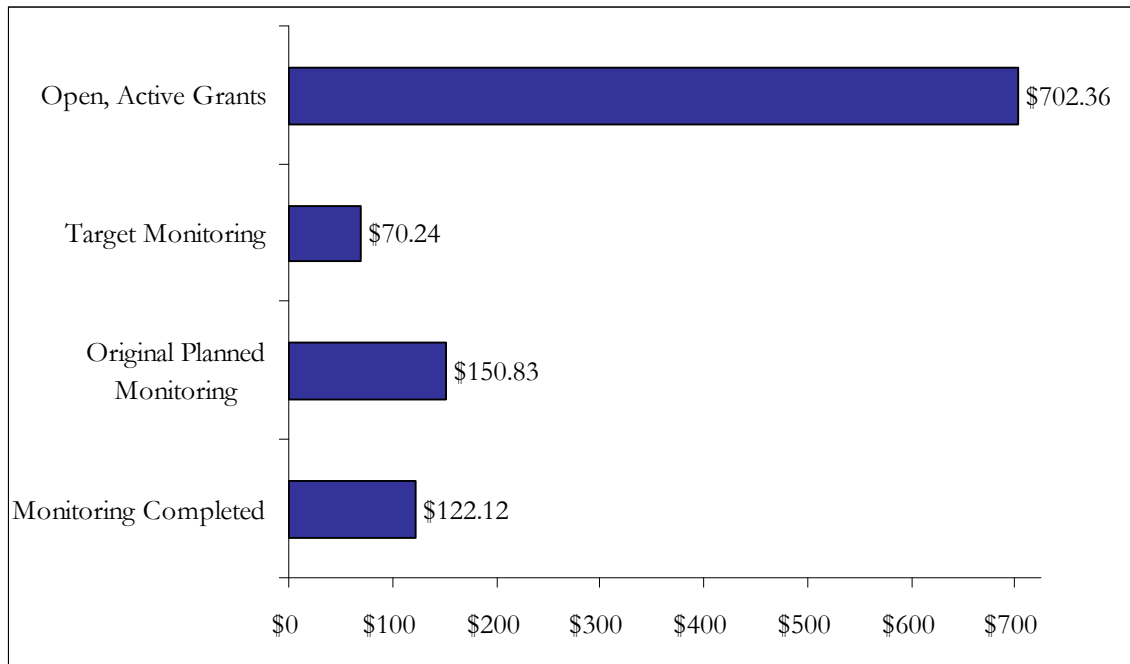
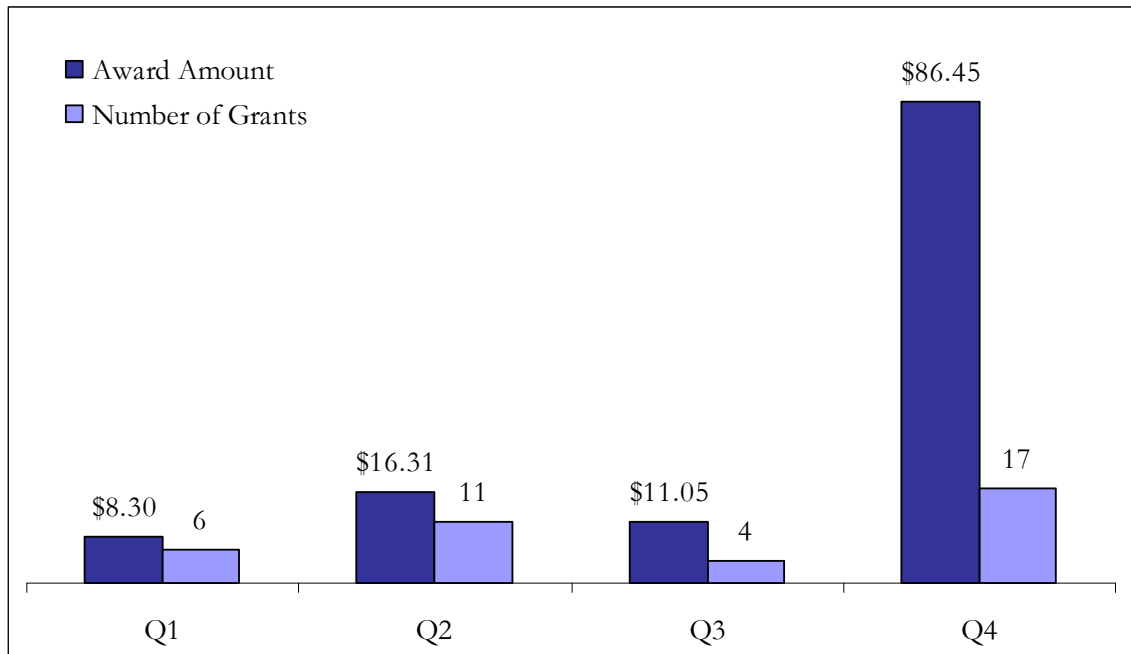


Figure 13 shows FY 2009 monitoring progress by quarter. Monitoring progress varied across all quarters, but peaked in Q4 when NIJ monitored 17 grants, totaling \$86.45 million.



**Figure 13. FY 2009 NIJ Award Amount (in Millions) and Total Number of Grants Monitored by Quarter**



***Monitoring Priority***

When conducting assessments in the GAT, grant managers assess their open, active awards against a set of standard risk indicators and based on their responses, the GAT assigns a priority score and an associated monitoring priority of high, medium, or low. In FY 2009, NIJ grant managers assessed 1,090 grants, which resulted in a high monitoring priority rating for 16 grants, a medium priority rating for 181 grants, and a low priority rating for 893 grants. Of the 16 grants identified as a high monitoring priority, 6 (38%) were monitored in FY 2009. Seven percent of medium priority grants were monitored while 2 percent of low priority grants were monitored. Table 14 below details the monitoring priority of assessed grants, grants planned for monitoring, and grants monitored in FY 2009.





**Table 14. FY 2009 NIJ Number of Grants Assessed, Planned, and Monitored by Monitoring Priority**

Monitoring Priority	Number of Grants by Monitoring Priority	Number of Grants Planned by Monitoring Priority	Percent of Grants Planned by Monitoring Priority	Number of Grants Monitored by Priority	Percent of Grants Monitored by Monitoring Priority
High	16	11	69%	6	38%
Medium	181	31	17%	13	7%
Low	893	37	4%	19	2%
<b>Total</b>	<b>1,090</b>	<b>79</b>	<b>7%</b>	<b>38</b>	

***GMS Monitoring Module Transition***

As reflected in Table 15, when the GMS Monitoring Module became available in the third quarter, GMT usage decreased to 25 percent compared to the GMS Monitoring Module usage of 75 percent. By the fourth quarter, GMS Monitoring Module usage increased to 100 percent.

**Table 15. FY 2009 NIJ GMT vs. GMS Monitoring Module Usage by Quarter**

NIJ					
Monitoring Module	Q1	Q2	Q3	Q4	FY Total
GMT Upload	6	11	1	0	<b>18</b>
GMS Module	0	0	3	17	<b>20</b>
<b>Total</b>	<b>6</b>	<b>11</b>	<b>4</b>	<b>17</b>	<b>38</b>



## Office of Juvenile Justice and Delinquency Prevention

### *Monitoring Statistics*

At the beginning of FY 2009, the Office of Juvenile Justice and Delinquency Prevention (OJJDP) had 1,597 open, active grants, totaling \$1,141,318,885. The 10 percent monitoring target for OJJDP was \$114.13 million. During the assessment period, OJJDP assessed 1,170 grants, of which 860 were required for assessment as determined by the eligibility criteria. Based on the assessment of 1,170 grants, OJJDP developed monitoring plans for on-site monitoring of 549 grants, totaling \$540.33 million.

By the end of the fiscal year, OJJDP completed on-site monitoring of 460 grants, totaling \$493.93 million. The completed monitoring exceeded the target by 333 percent (\$379.80 million) but was 9 percent (\$46.40 million) less than originally planned. Figure 14 below shows the FY 2009 award amount and monitoring levels for OJJDP.

**Figure 14. FY 2009 OJJDP Award and Monitoring Amounts (in Millions)**

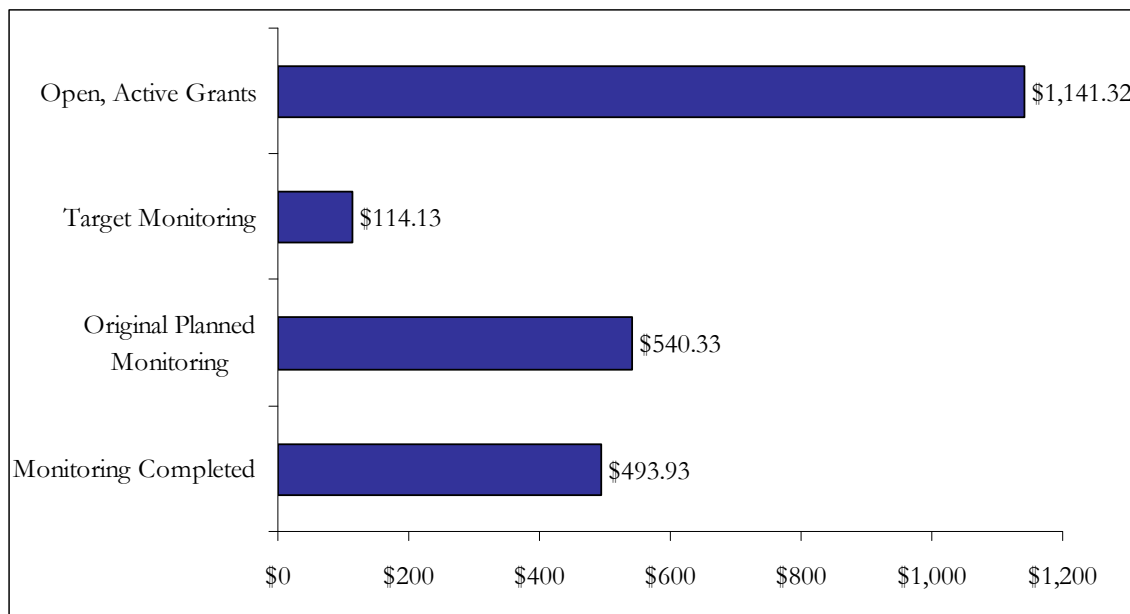
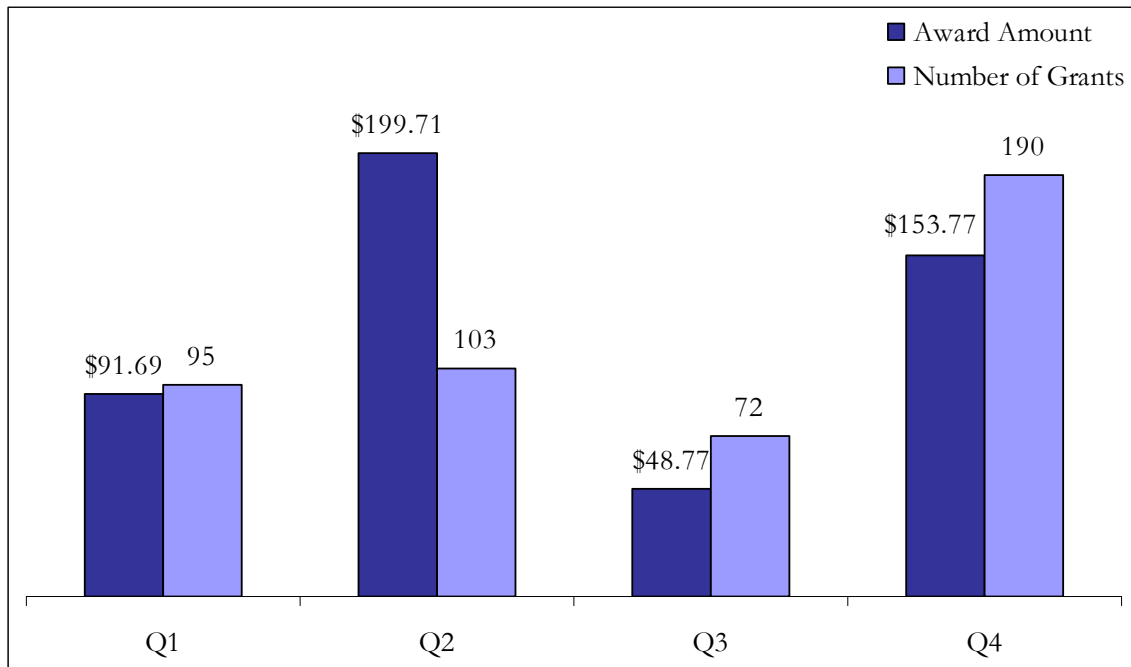


Figure 15 shows FY 2009 monitoring progress by quarter. Monitoring progress varied across all quarters but was highest in the second and fourth quarters. By Q2, OJJDP had completed monitoring of a total of \$291.40 million and exceeded its monitoring target threshold.



**Figure 15. FY 2009 OJJDP Award Amount (in Millions) and Total Number of Grants Monitored by Quarter**



***Monitoring Priority***

When conducting assessments in the GAT, grant managers assess their open, active awards against a set of standard risk indicators and based on their responses, the GAT assigns a priority score and an associated monitoring priority of high, medium, or low. In FY 2009, OJJDP grant managers assessed 1,170 grants, which resulted in a high monitoring priority rating for 108 grants, a medium priority rating for 274 grants, and a low priority rating for 788 grants. Of the 108 grants identified as a high monitoring priority, 66 (61%) were monitored in FY 2009. Twenty-three percent of medium priority grants were monitored while 39 percent of low priority grants were monitored. Table 16 below details the monitoring priority of assessed grants, grants planned for monitoring, and grants monitored in FY 2009.



**Table 16. FY 2009 OJJDP Number of Grants Assessed, Planned, and Monitored by Monitoring Priority**

Monitoring Priority	Number of Grants by Monitoring Priority	Number of Grants Planned by Monitoring Priority	Percent of Grants Planned by Monitoring Priority	Number of Grants Monitored by Priority*	Percent of Grants Monitored by Monitoring Priority
High	108	90	83%	66	61%
Medium	274	122	45%	64	23%
Low	788	337	43%	307	39%
<b>Total</b>	<b>1,170</b>	<b>549</b>	<b>47%</b>	<b>437</b>	

\*This figure represents the number of grants monitored that were also assessed. Several grants were monitored that were not originally assessed at the beginning of the fiscal year.

***GMS Monitoring Module Transition***

As reflected in Table 17, all grants monitored by OJJDP in the first and second quarters, were completed in GMT. Utilization of the GMT decreased in the third quarter once site visit monitoring reporting functions became available in the enhanced GMS Monitoring Module. During the third quarter, GMT was used 69 percent of the time compared to the GMS Monitoring Module being used 29 percent. OJJDP did not adhere to the guidelines of using the GMT or the monitoring module and uploaded an Adobe.pdf file for one on-site monitoring visit in the third quarter. By the fourth quarter, the GMS Monitoring Module usage increased to 97 percent with the usage of the GMT at 3 percent.

**Table 17. FY 2009 OJJDP GMT vs. GMS Monitoring Module Usage by Quarter**

Monitoring Module	OJJDP				FY Total
	Q1	Q2	Q3	Q4	
GMT Upload	95	103	50	6	<b>254</b>
GMS Module	0	0	21	184	<b>205</b>
Other Documentation	0	0	1	0	<b>1</b>
<b>Total</b>	<b>95</b>	<b>103</b>	<b>72</b>	<b>190</b>	<b>460</b>



## Office for Victims of Crime

### *Monitoring Statistics*

At the beginning of FY 2009, the Office for Victims of Crime (OVC) had 498 open, active grants, totaling \$1,597,961,892. The 10 percent monitoring target for OVC was \$159.80 million. During the FY 2009 assessment period, OVC assessed 487 grants, which were all required for assessment as determined by the eligibility criteria. Based on the assessment of 487 grants, OVC developed monitoring plans for on-site monitoring of 168 grants, totaling \$513.86 million.

By the end of FY 2009, OVC completed on-site monitoring of 86 grants totaling \$197.92 million. The completed monitoring exceeded the target by 24 percent (\$38.12 million) but was 62 percent (\$315.94 million) less than originally planned. Figure 16 below shows the FY 2009 award amount and monitoring levels for OVC.

**Figure 16. FY 2009 OVC Award and Monitoring Amounts (in Millions)**

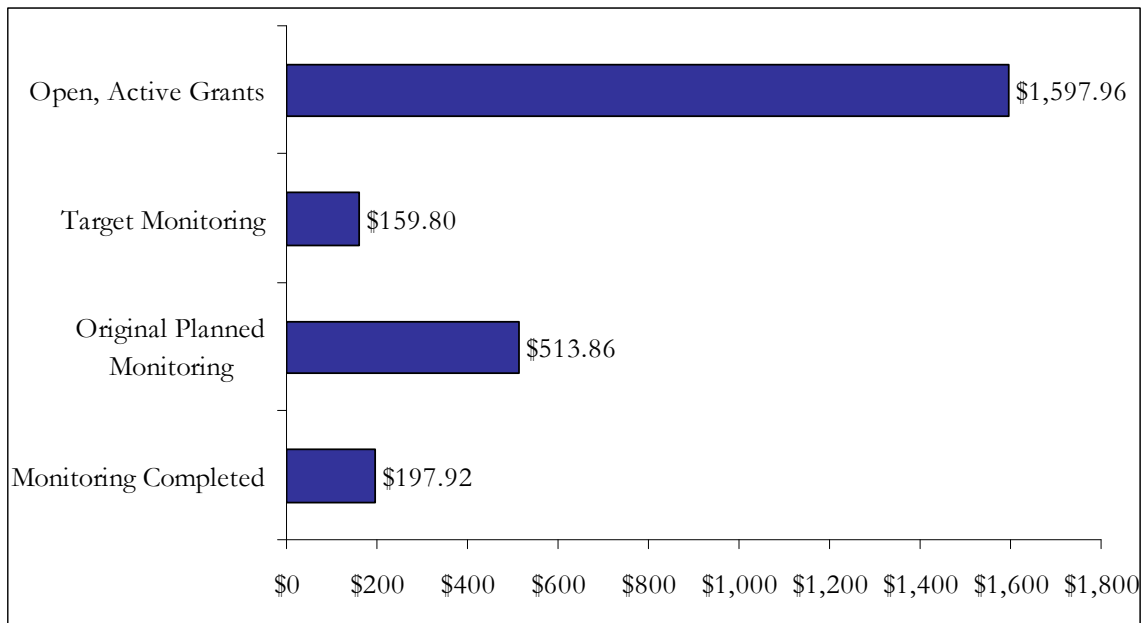
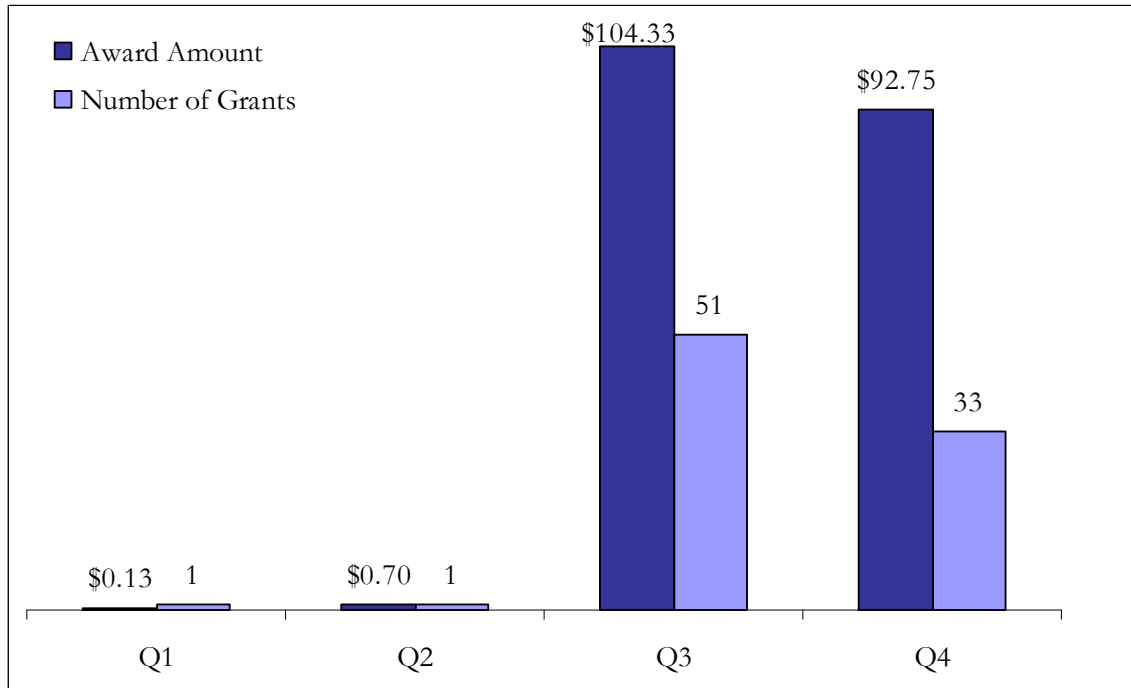


Figure 17 shows FY 2009 monitoring progress by quarter. OVC only monitored two grants during the first two quarters of the fiscal year and conducted the majority of its grant monitoring in Q3 and Q4. The highest number of grants and award dollars was monitored in Q3 when on-site monitoring was completed for 51 grants, totaling \$104.33 million.



**Figure 17. FY 2009 OVC Award Amount (in Millions) and Total Number of Grants Monitored by Quarter**



***Monitoring Priority***

When conducting assessments in the GAT, grant managers assess their open, active awards against a set of standard risk indicators and based on their responses, the GAT assigns a priority score and an associated monitoring priority of high, medium, or low. In FY 2009, OVC grant managers assessed 487 grants, which resulted in a high monitoring priority rating for 37 grants, a medium priority rating for 48 grants, and a low priority rating for 402 grants. Of the 37 grants identified as a high monitoring priority, 5 (14%) were monitored in FY 2009. Ten percent of medium priority grants were monitored while 16 percent of low priority grants were monitored. Table 18 below details the monitoring priority of assessed grants, grants planned for monitoring, and grants monitored in FY 2009.



**Table 18. FY 2009 OVC Number of Grants Assessed, Planned and Monitored by Monitoring Priority**

Monitoring Priority	Number of Grants by Monitoring Priority	Number of Grants Planned by Monitoring Priority	Percent of Grants Planned for Monitoring	Number of Grants Monitored*	Percent of Grants Monitored by Monitoring Priority
High	37	8	22%	5	14%
Medium	48	20	42%	5	10%
Low	402	140	35%	66	16%
<b>Total</b>	<b>487</b>	<b>168</b>	<b>34%</b>	<b>76</b>	

\*This figure represents the number of grants monitored that were also assessed. Several grants were monitored that were not originally assessed at the beginning of the fiscal year.

***GMS Monitoring Module Transition***

As reflected in Table 19, the two grants monitored by OVC in the first and second quarters were completed using the GMT. In Q3, OVC continued to use the GMT at a greater rate with the GMT being used at 75 percent compared to the GMS Monitoring Module being used 25 percent. This trend continued into the fourth quarter with the GMT being used 60 percent compared to the GMS Monitoring Module being used 39 percent of the time.

**Table 19. FY 2009 OVC Usage of Monitoring Modules by Quarter**

OVC					
Monitoring Module	Q1	Q2	Q3	Q4	FY Total
GMT Upload	1	1	38	20	<b>64</b>
GMS Module	0	0	13	13	<b>22</b>
<b>Total</b>	<b>1</b>	<b>1</b>	<b>51</b>	<b>33</b>	<b>86</b>



## Office of Sex Offender Sentencing, Monitoring, Apprehending, Registering, and Tracking

### *Monitoring Statistics*

At the beginning of FY 2009, the Office of Sex Offender Sentencing, Monitoring, Apprehending, Registering, and Tracking (SMART Office) had 110 open, active grants totaling \$28,726,995. The 10 percent monitoring target for the SMART Office was \$2.87 million. FY 2009 was the first year the SMART Office conducted on-site monitoring of grants. In FY 2008, the SMART Office was in the process of making its initial awards, which were then scheduled to be monitored in FY 2009. During the assessment period, the SMART Office assessed seven grants. Based on the assessment of seven grants, the SMART Office developed monitoring plans for on-site monitoring of five grants, totaling \$9.07 million.

By the end of FY 2009, the SMART Office completed on-site monitoring of three grants totaling \$8.76 million. The completed monitoring exceeded the target by 205 percent (\$5.89 million) but was 3 percent (\$310,528) less than originally planned. Figure 18 below shows the FY 2009 award amount and monitoring levels for the SMART Office.

**Figure 18. FY 2009 SMART Award and Monitoring Amounts (in Millions)**

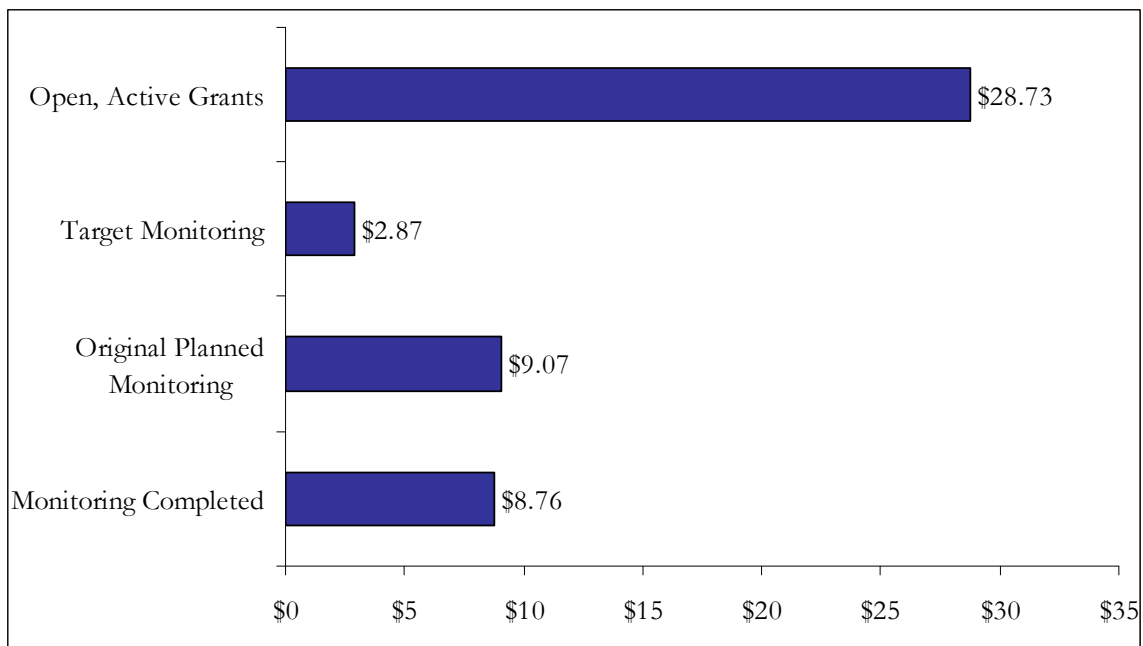
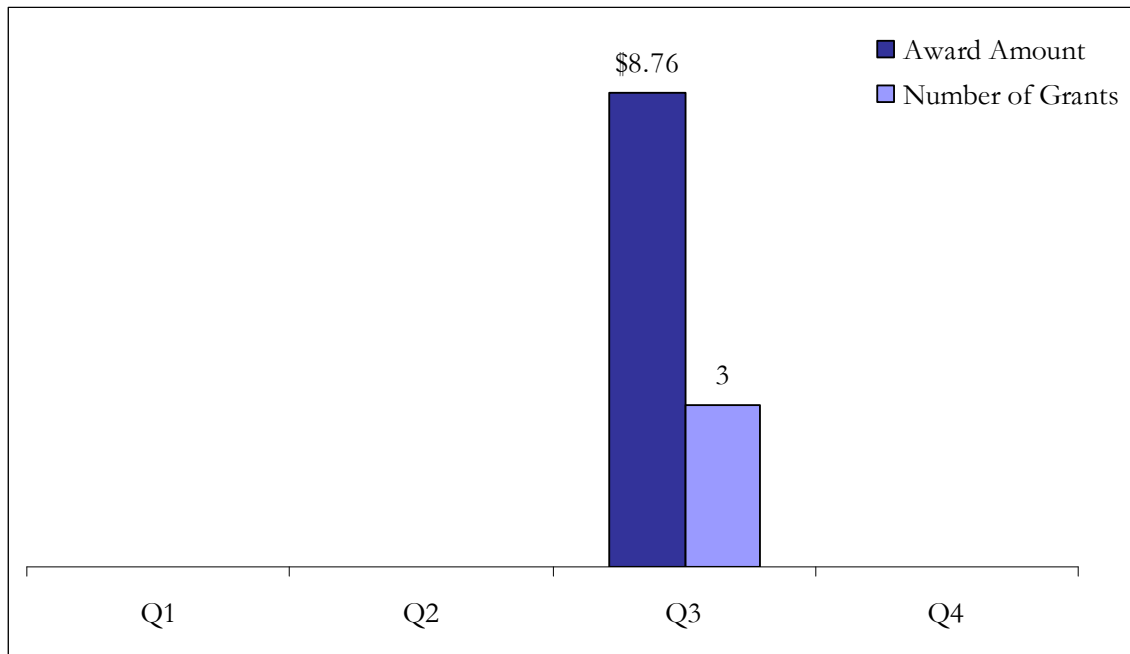






Figure 19 below shows FY 2009 monitoring progress by quarter. The SMART Office conducted on-site monitoring for all three grants during the third quarter totaling \$8.76 million in award funds.

**Figure 19. FY 2009 SMART Office Award Amount (in Millions) and Total Number of Grants Monitored by Quarter**



### ***Monitoring Priority***

When conducting assessments in the GAT, grant managers assess their open, active awards against a set of standard risk indicators and based on their responses, the GAT assigns a priority score and an associated monitoring priority of high, medium, or low. In FY 2009, the SMART Office grant managers assessed seven grants, which resulted in a high monitoring priority rating for six grants, and a medium priority rating for one grant. Of the 6 grants identified as a high monitoring priority, 2 (33%) were monitored in FY 2009. Table 20 below details the monitoring priority of assessed grants, grants planned for monitoring and grants monitored in FY 2009.



**Table 20. FY 2009 SMART Office Number of Grants Assessed, Planned and Monitored by Monitoring Priority**

Monitoring Priority	Number of Grants by Monitoring Priority	Number of Grants Planned by Monitoring Priority	Percent of Grants Planned for Monitoring	Number of Grants Monitored*	Percent of Grants Monitored by Monitoring Priority
High	6	5	83%	2	33%
Medium	1	0	0%	0	0%
Low	0	0	-	0	-
<b>Total</b>	<b>7</b>	<b>5</b>	<b>71%</b>	<b>2</b>	

\*This figure represents the number of grants monitored that were also assessed. Several grants were monitored that were not assessed at the beginning of the fiscal year.

***GMS Monitoring Module Transition***

As reflected in Table 21 below, the SMART Office completed all site visit documentation using the enhanced GMS Monitoring Module.

**Table 21. FY 2009 SMART Office Usage of Monitoring Modules by Quarter**

SMART					
Monitoring Module	Q1	Q2	Q3	Q4	FY Total
GMT Upload	0	0	0	0	<b>0</b>
GMS Module	0	0	3	0	<b>3</b>
<b>Total</b>	<b>0</b>	<b>0</b>	<b>3</b>	<b>0</b>	<b>3</b>

