



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

FY 2012 OJP and COPS Office Programmatic and Financial Monitoring Levels

July 2013

Final Report



The Office of Justice Programs (OJP) and the Office of Community Oriented Policing Services (COPS Office) are two of the three grant-making components within the U.S. Department of Justice (DOJ). OJP's mission is to provide innovative leadership to federal, state, local and tribal justice systems, by disseminating state of the art knowledge and practices across America, and providing grants for the implementation of these crime fighting strategies. The COPS Office mission is to advance the practice of community policing in the nation's state, local, territory, and tribal law enforcement agencies. As a critical component of grant administration, grant monitoring is intended to ensure the financial and programmatic integrity and accountability of grantees. Currently, OJP and the COPS Office are responsible for conducting programmatic and financial reviews of grant awards, interacting with grantees to provide technical assistance as needed, and conducting periodic in-depth monitoring visits. While the COPS Office is a single organizational entity, OJP consists of six bureaus and offices, collectively referred to as *program offices*:

- ◆ Bureau of Justice Assistance (BJA)
- ◆ Bureau of Justice Statistics (BJS)
- ◆ National Institute of Justice (NIJ)
- ◆ Office of Juvenile Justice and Delinquency Prevention (OJJDP)
- ◆ Office for Victims of Crime (OVC)
- ◆ Office of Sex Offender Sentencing, Monitoring, Apprehending, Registering, and Tracking (SMART Office)

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 oversight. Since Fiscal Year (FY) 2007, OAAM has provided oversight of OJP and the COPS Office monitoring activities. OAAM's monitoring oversight function includes the following activities: development of OJP-wide grant monitoring standards, procedures, and tools; coordination of the annual DOJ monitoring plan; assessing the quality and completeness of in-depth monitoring activities; and tracking annual monitoring progress to ensure that program offices monitor at least 10% of their open award funds annually, as required by Public Law 109-162, "Violence Against Women and Department of Justice Reauthorization Act of 2005."

This report was prepared by OAAM's Program Assessment Division and discusses the monitoring process; FY 2012 improvements to monitoring priorities and procedures; and the FY 2012 monitoring statistics for OJP, the COPS Office, and OJP's Office of the Chief Financial Officer (OCFO). For questions regarding the content or distribution of this report, please contact Maureen Henneberg, director of OAAM, at (202) 616-3282.



Acronyms

ARD	Audit and Review Division
BJA	Bureau of Justice Assistance
BJS	Bureau of Justice Statistics
CCDO	Community Capacity Development Office
COPS	Office of Community Oriented Policing Services
DOJ	Department of Justice
EPDR	Enhanced Programmatic Desk Review
GAT	Grant Assessment Tool
FFR	Federal Financial Report
FY	Fiscal Year
FLS	First-Line Supervisor
GFMD	Grants Financial Management Division
GMM	Grant Manager's Manual
GMS	Grants Management System
JAG	Justice Assistance Grant Program
MDT	Monitoring Decision Tool
MOSV	Multi-Office Site Visit
NIJ	National Institute of Justice
OAAM	Office of Audit, Assessment, and Management
OCFO	Office of the Chief Financial Officer
OCIO	Office of the Chief Information Officer
OJJDP	Office of Juvenile Justice and Delinquency Prevention
OJP	Office of Justice Programs
OVC	Office for Victims of Crime
OVW	Office on Violence Against Women
SMART	Office of Sex Offender Sentencing, Monitoring, Apprehending, Registering, and Tracking



Table of Contents

1. Executive Summary	5
2. FY 2012 OJP Improvements	7
3. OJP and COPS Office Monitoring Process	8
3.1 In-depth Monitoring Requirements	8
3.2 In-depth Monitoring Process	9
4. FY 2012 OJP Monitoring Priorities	12
4.1 Monitoring Priority Levels	12
4.2 In-depth Programmatic Monitoring Decisions	15
5. FY 2012 Overall OJP and COPS Office Monitoring Statistics	17
5.1 In-depth Programmatic Monitoring Completed	18
5.2 Joint Site Visits among OJP, COPS Office, and OCFO	19
5.3 Required, Planned, and Completed In-depth Programmatic Monitoring	19
5.4 Quarterly In-depth Programmatic Monitoring Completed	23
5.5 Fiscal Year Comparison of Completed OJP and COPS Office In-depth Programmatic Monitoring	25
6. FY 2012 Focused Monitoring	26
6.1 Recovery Act Grant In-depth Monitoring	26
6.2 DOJ High Risk Grantees	28
6.3 OJP Program Office Desk Reviews	30
6.4 In-depth Monitoring Package Delinquencies	32
6.5 Issues for Resolution	34
6.6 OCFO Financial Monitoring Top Findings	36
7. FY 2013 Focus Areas	37
8. Appendix	38
Appendix A. FY 2012 Risk Criteria Breakdown	38
Appendix B. Recovery Act Monitoring	41



1. Executive Summary

Each year OAAM reports on the monitoring activities of OJP's program offices and the COPS Office to identify overall performance levels during the fiscal year and opportunities for continued improvement. In FY 2012, OJP and the COPS Office followed its established monitoring process to assess its open, active grants to set monitoring priorities, form fiscal year monitoring plans, and conduct monitoring activities. Additionally, in an effort to continuously improve monitoring standards and procedures and to respond to issues identified throughout the year, OAAM completed several major technical projects that further enhanced the monitoring oversight of OJP and the COPS Office programs.

At the start of FY 2012, OJP had 13,134 open, active grants totaling \$9.1 billion and the COPS Office had 4,140 totaling \$2.5 billion, as shown in Table 1. OAAM used the Grant Assessment Tool (GAT) to generate risk scores and monitoring priority levels for OJP's open, active grants. These priorities were used by OJP program offices to make monitoring decisions and create the fiscal year monitoring plans. The COPS Office followed a similar risk assessment process to guide the creation of its fiscal year monitoring plan.

OJP program offices, the COPS Office, and OCFO selected a total of 1,746 grants, for in-depth monitoring at the beginning of the fiscal year, as shown in Table 1. The OCFO totals only include OJP and the COPS Office grants. At the end of the fiscal year, OJP had completed in-depth programmatic monitoring on 1,214 grants totaling \$2.0 billion, exceeding its statutory monitoring requirement by \$1.1 billion. The COPS Office completed in-depth monitoring on 253 grants totaling \$270 million, exceeding its monitoring requirement by \$16.7 million. In addition, OCFO monitored 409 OJP and COPS Office grants. Together with OCFO's monitoring of OJP and the COPS Office grants, 1,670 grants, worth \$2.9 billion, were programmatically and/or financially monitored in FY 2012, as shown in Table 2.

TABLE 1

OJP and the COPS Office FY 2012 open, active and initial in-depth monitoring plan

	Number of Grants	Award Amount (in millions)
FY 2012 Open, Active		
OJP	13,134	\$9,101.2
COPS Office	4,140	\$2,535.1
Totals	17,274	\$11,636.3
FY 2012 Initial Monitoring Plan		
OJP	1,193	\$1,704.2
COPS Office	247	\$262.6
OCFO*	395	\$1,208.7
Totals**	1,746	\$2,819.1

*The planned OCFO monitoring includes only OJP and COPS Office grants.

**The initial plan totals do not include the overlap OCFO has with OJP and the COPS Office.

TABLE 2

FY 2012 completed in-depth monitoring for OJP, the COPS Office, and OCFO*

	Number of Grants	Award Amount (in millions)
Programmatic Monitoring		
OJP	1,214	\$2,029.7
COPS Office	253	\$270.2
Financial Monitoring		
OCFO monitoring of OJP and the COPS Office grants	409	\$1,215.4
Total Monitoring**	1,670	\$2,875.4

*This table includes only the OCFO in-depth monitoring of OJP and COPS Office grants.

**The total programmatic and financial in-depth monitoring does not include the overlap OCFO has with OJP and the COPS Office.



REPORT HIGHLIGHTS

FY 2012 Overall In-depth Programmatic Monitoring Statistics

- ◆ OJP exceeded its statutory programmatic monitoring requirement by \$1.1 billion and exceeded its planned monitoring by \$325.5 million.
- ◆ The COPS Office exceeded its monitoring requirement by \$16.7 million and exceeded its planned monitoring by \$7.6 million.
- ◆ Each OJP program office individually exceeded its statutory and additional OJP programmatic monitoring requirements.
- ◆ OJP increased the number of awards programmatically monitored from FY 2011 to FY 2012 by 8% percent; however there was a 9% decrease from the total award amount monitored in FY 2011.
- ◆ FY 2012 marked the first time OJP's initial programmatic monitoring plan was exceeded.
- ◆ 70% of OJP's in-depth programmatic monitoring was conducted through EPDRs which covered 678 grants.
- ◆ The majority of program offices conducted in-depth monitoring in Q2 and Q3 except OVC and OJJDP, which both conducted 50% or more of their in-depth monitoring in Q4.
- ◆ The total award amount monitored through joint programmatic and financial site visits increased 88% and the number of grants monitored increased more than four times the number of grants from FY 2010 to FY 2012.

FY 2012 Financial Monitoring Statistics

- ◆ OCFO conducted on-site financial monitoring for 488 grants totaling \$1.3 billion. Among the 488 grants that were financially monitored by OCFO, 409 were OJP and COPS Office grants (79 grants were from OVW and outside the scope of this report).
- ◆ OCFO conducted financial monitoring for 56 OJP and COPS Office Recovery Act awards totaling \$473.2 million in FY 2012.
- ◆ Among the 36 active grantees on the DOJ High Risk List at the beginning of the fiscal year, OJP, the COPS Office, and OCFO have programmatically and/or financially monitored 20 of these grantees (56%) over the past three fiscal years.
- ◆ OCFO financial monitors made 376 recommendations and identified \$12.6 million in Questioned Costs when monitoring OJP and COPS Office grantees in FY 2012.

FY 2012 Focused Programmatic Monitoring

- ◆ OJP programmatically monitored 81% of all funds awarded under the Recovery Act program from FY 2009 to FY 2012 (22% of its Recovery Act grants).
- ◆ The COPS Office has monitored 40% of all funds awarded under the Recovery Act program from FY 2009 to FY 2012 (16% of its Recovery Act grants).
- ◆ More than half of all OJP in-depth programmatic monitoring (site visit and enhanced programmatic desk review) packages were delinquent in FY 2012.
- ◆ OJP and the COPS Office programmatically monitored 31% of the grantees with active awards on the DOJ High Risk List during FY 2012.
- ◆ In FY 2012, OJP program offices completed 13,620 desk reviews and decreased its annual outstanding desk review totals from 50 in FY 2011 to two in FY 2012.
- ◆ OJP grant managers identified 656 issues for resolution among the 1,214 grants monitored in FY 2012. This represents a 122% increase in total number of issues identified in FY 2011 and 140% increase in the number of grants with issues identified. [Note: This increase could be attributed to OJP's revisions to in-depth monitoring checklists in FY 2012, which provide an enhanced framework for documenting activities and information reviewed by grant managers.]



2. FY 2012 OJP Improvements

In an effort to continuously improve monitoring standards and procedures and to respond to issues identified throughout FY 2012, OAAM completed a number of activities to improve compliance with the policies and procedures outlined in the OJP Grant Manager's Manual (GMM), strengthen grantee oversight, and ensure that grantees are receiving consistent, quality feedback from grant managers.



In an effort to ensure OJP was focusing monitoring efforts on OJP grantees with the greatest risk, OAAM, in coordination with OCFO and the Monitoring Working Group, developed an automated risk assessment tool that was launched in the beginning of FY 2012. The automated risk assessment, conducted in the GAT, utilized 27 risk criteria based on existing information about the financial, administrative, and programmatic performance of grantees to assign a risk score and a corresponding monitoring priority for each grant. The automated risk process feeds data directly from OJP's Grants Management System (GMS) and Financial Management Information System 2 (FMIS2) and calculates risk for each grant by scoring each risk criteria and multiplying that by a weighted score based on its relative importance. OJP grant managers no longer need to manually respond to the risk indicator questions during the annual monitoring plan development process, which has increased the accuracy and consistency of the results, while significantly reducing program office time and labor costs in FY 2012. For purposes of financial monitoring, the scores are aggregated by grantee to assist in identifying those recipients who may represent the highest risk to DOJ.



For FY 2013, OAAM and the Office of the Chief Information Officer (OCIO) converted the GAT's automated Monitoring Decision Tool (MDT) to SharePoint, providing greater flexibility and capacity to users within OJP. The migration allows for improved system response time and workflow, collaboration, reporting, and the ability to automate many other manual activities. In addition, this enhancement will allow for a real-time data feed from GMS to the GAT instead of manually updating the data on a quarterly basis. The new GAT MDT was rolled out on October 31, 2012 and was used for the FY 2013 Monitoring Plan development process.

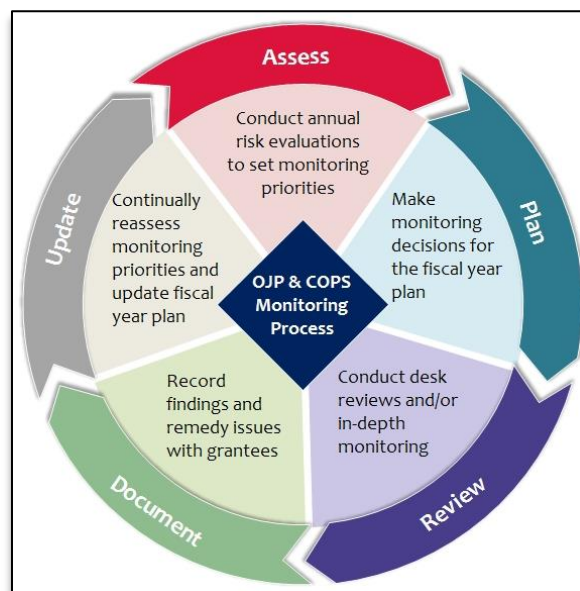


During FY 2012 and FY 2013, OAAM and OCIO migrated the GAT Desk Review Tool from Microsoft Access to GMS. The migration of the desk review functionality to the GMS provides numerous benefits in carrying out monitoring activities, including increased automation to reduce manual work, simplified access to current grants management information, and enhanced workflow. Additionally, it was critical to include monitoring activities and documentation as part of the GMS official grant file. The new GMS Desk Review tool was rolled out December 21, 2012.



3. OJP and COPS Office Monitoring Process

Proactive monitoring activities ensure the financial and programmatic integrity and accountability of grantees, and assist grantees in implementing approved programs within a framework of relevant statutes, regulations, policies, and guidelines pertaining to grant programs. OJP program offices and the COPS Office are responsible for monitoring their grants and grant programs, which must include the review of the programmatic, financial, and administrative elements of their grants. The three methods of monitoring grantees are substantive communication, desk reviews¹, and in-depth monitoring, which includes on-site visits and remote monitoring activities. In addition to programmatic monitoring, the OCFO conducts on-site monitoring focused on the grantee's overall financial management processes. OCFO desk reviews are designed to review financial compliance factors and reports for a grant that may indicate whether greater financial issues may exist.



3.1 In-depth Monitoring Requirements

Each fiscal year, OJP and the COPS Office are required to fulfill a statutory requirement to programmatically monitor 10% of the total open, active award amount. In addition, OJP is required to monitor 10% of the total number of open, active grants.² To ensure sufficient monitoring of Recovery Act grants, OJP program offices are also required to monitor 10%³ of the number of grants by program or one grant per program, whichever is greater. This is to ensure that in-depth monitoring is conducted for at least 30% of the amount of funds awarded over the lifetime of the Recovery Act program. These requirements are referred to as *required monitoring*. Required monitoring thresholds are based on the total number and award amount of grants that are open and active as of the beginning of the fiscal year. Throughout this report, monitoring thresholds are based on open, active total award amounts and total number of grants as of the beginning of FY 2012, October 1, 2011.

¹ The COPS Office does not have an annual desk review requirement to review all open and active grants on an annual basis. However, the COPS Office does conduct Office Based Grant Reviews (OBGR) as a supplemental activity in support of its overall grant monitoring strategy. The total number of OBGRs performed during a fiscal year varies between 10 and 20 and are mostly completed on tribal grantees.

² Due to its large number of awards, BJA is required to monitor 5% of its open, active awards.

³ Due to the large number of Recovery Act grants awarded by BJA, it is required to monitor 5% of local Justice Assistance Grant (JAG) programs.



3.2 In-depth Monitoring Process

OJP and the COPS Office follow a prescribed monitoring process to ensure that the monitoring requirements are met, time and resources are spent wisely, priorities are reassessed on a regular basis, and monitoring is properly conducted and documented. The monitoring process consists of the following key steps:

1. Conduct an automated grant risk assessment
2. Develop a program office/component specific monitoring plan using risk scores and other known information
3. Engage in monitoring review activities
4. Document monitoring outcomes and findings
5. Work with grantee to remedy identified issues
6. Reassess and update monitoring priorities quarterly

The following sections provide further detail into monitoring activities that OJP and the COPS Office perform each fiscal year.

3.2.1 Automated Grant Risk Assessment

To ensure offices meet or exceed required monitoring and in an effort to encourage priority-based selections for in-depth monitoring, OJP and the COPS Office use an automated risk assessment tool to assess their open, active awards against a set of criteria at the beginning of each fiscal year. In FY 2012, OJP's automated tool, the GAT, utilized 27 risk criteria derived from existing information about the financial, administrative, and programmatic performance of grants from GMS and FMIS2. See Appendix A for a full list of the criteria. These risk criteria include such elements as award amounts, compliance with reporting requirements, high-risk status of grantee, whether the program is new, and whether funds have been withheld under a previous or current grant. All open and active grants are assessed quarterly against the risk criteria and are assigned a monitoring priority of high, medium, or low. OJP program offices review the GAT results, determine which grants will receive in-depth monitoring, and document these decisions in the tool. The OCFO also uses the GAT results to select grants for financial desk reviews and the aggregate score to select grantees for on-site in depth monitoring.

The COPS Office maintains its own version of the grant assessment tool (COPS Office GAT) to assess all of its open, active grants at the beginning of each fiscal year. The COPS Office GAT is designed to utilize award and organization-level data from multiple COPS Office feeder systems and databases to address risk criteria similar to those used in the OJP GAT. The COPS Office provides OAAM with a monitoring plan based on monitoring decisions documented in its tool.

3.2.2 Monitoring Plan

Monitoring decisions made using information from both OJP's and the COPS Office's GATs are the basis for the DOJ Programmatic and Financial Monitoring Plan. This plan, which is developed at the beginning of each fiscal year and identifies grants to be monitored, is referred to by OAAM as *planned monitoring*. In FY 2012, OAAM worked closely with OJP program



offices, the COPS Office, the Office on Violence Against Women (OVW), and OCFO to coordinate monitoring plans to increase the number of joint financial and programmatic site visits being conducted. Additionally, OJP's newly automated GAT enabled program managers to directly submit an OCFO special request to review issues they have identified through monitoring activities. OCFO reviewed these requests and added them to its monitoring plan as warranted.

3.2.3 Monitoring Review Activities

Once a monitoring plan has been established, fiscal year monitoring activities are conducted including substantive communication with the grantee, annual desk reviews (OJP), and in-depth monitoring.

OJP policy provides that a programmatic desk review be performed on each open, active award every 6 months but not less than once annually. Additionally, if a grant manager is conducting a site visit or EPDR, a desk review must be completed within 60 days of the monitoring start date.

The OCFO also conducts financial desk reviews on OJP grants which are designed to review key items that may be indicators of non-compliance with OJP Financial Guide. For example, a financial desk review determines whether the grantee has drawn more cash than the expenditures reported on the most recent Federal Financial Report. The expenditures are then calculated as a percentage of the award amount and the financial monitor reaches out to the program manager to determine whether the rate of expenditures appears to be reasonable given the performance to date.

In addition to annual desk reviews, grant managers/monitors conduct in-depth monitoring to collect pertinent information, and assess grantee performance and compliance with programmatic and financial grant requirements. The types of in-depth monitoring include:

- ◆ *On-site Monitoring* - In-depth monitoring performed by a grant manager/monitor at the grantee site. Grants are selected based on their monitoring priority level to mitigate risk, address specific performance areas, and provide targeted training and technical assistance. Financial monitoring selections are based on the aggregate score for the grantee and each financial monitoring site visit reviews six to eight awards in multiple programs.
- ◆ *Enhanced Programmatic Desk Review*⁴ - In-depth monitoring performed remotely from the grantor site. Grant managers assess the programmatic integrity and accountability of their grants and grantees using alternative communication methods for speaking with grantees and reviewing grant files.

⁴ In FY 2012, the COPS Office did not use enhanced programmatic desk reviews to meet their monitoring requirements. All FY 2012, COPS Office in-depth monitoring was completed through on-site monitoring. The OCFO conducts Financial Monitoring, including Enhanced Financial Desk Reviews, on behalf of the COPS Office.



- ◆ *Enhanced Financial Desk Review*⁴ – In-depth monitoring performed remotely from the grantor site. Financial monitors assess the financial integrity and accountability of their grants and grantees using alternative communication methods for speaking with grantees and reviewing grant general ledgers and supporting documents.
- ◆ *Multi-Office Site Visit* – On-site, in-depth monitoring performed jointly by OCFO and one or more program offices. Visits are determined by ranking the grantees based on the results of the risk assessment process that represent a high risk priority to DOJ. Typically all outstanding awards, or the most active award for the program, are reviewed in a Multi-Office Site Visit. This process allows for identification of systemic issues that a grantee might be experiencing.

3.2.4 Documenting Monitoring Findings and Resolving Issues

After conducting a site visit or an EPDR, OJP grant managers and financial monitors are required to complete a report that documents the monitoring activities and conclusions from the review. Grant managers and financial monitors are also required to record any issues for resolution and recommendations for corrective action in GMS. These issues and recommendations are entered into a post-monitoring letter that is sent to the grantee. Following the letter, grant managers and financial monitors are responsible for working with grantees to ensure that actions are taken to resolve the issues identified.

OJP monitoring documentation, including reports and post-monitoring letters, must be completed and approved in GMS by the grant manager's or financial monitor's first-line supervisor within 45 days of the end of the review. The 45-day process is an internal control to ensure that the grantee is being notified of any issues found during the review in a timely fashion. Not communicating to the grantee in a timely manner could perpetuate identified issues. OAAM reviews completed programmatic monitoring data reported by grant managers at the end of each quarter to track and report OJP's progress towards meeting its annual monitoring requirement and timeliness of report submissions. The OCFO tracks the financial monitoring results to inform its financial grants management training and updates to the OJP Financial Guide.

The COPS Office also documents its on-site monitoring activities through a formal process. Grant monitoring specialists have 17 business days from the conclusion of the on-site visit to submit their site visit report package to their supervisor. The site visit package contains a site visit report, feedback letter, site visit issue status report, and other supporting documentation. Within 45 days of the date of the site visit, the site visit report package will be reviewed and approved by the grant monitoring specialist's supervisor, which results in a feedback letter being sent to the grantee.

3.2.5 Quarterly Updates

At the start of each quarter OAAM re-generates the OJP risk assessment with updated data, which may increase or decrease a grant's monitoring priority. After the risk assessment is re-run, grant managers are asked to review their monitoring plans and take into account any shifts in monitoring priority that may necessitate updating their plans. Grant managers can make changes to the monitoring plan by rescheduling monitoring to occur in a different quarter,



changing the type of monitoring in the plan (site visit or EPDR), or removing previously planned monitoring. OJP grant managers use the GAT to make their updates, while the COPS Office and OVW use tracking spreadsheets. OCFO uses an Access/Sharepoint database to track the financial monitoring plan compared to actual financial monitoring through final closure of the financial monitoring recommendations. OAAM validates the program office monitoring data and publishes a revised monitoring plan for the OJP program offices, the COPS Office, OCFO, and OVW each quarter.

4. FY 2012 OJP Monitoring Priorities

Since FY 2009, OJP has used a risk assessment process to inform in-depth monitoring priority of grants and grantees. In FY 2011, the OCFO developed a scored risk assessment to determine financial monitoring priorities. Prior to FY 2012, grant managers answered a set of standard risk indicator questions during their desk reviews and, based on those responses, the GAT assigned a monitoring priority. Beginning in FY 2012, OAAM and the OCFO collaborated to leverage resources and standardize the risk assessment methodology across all of OJP to implement an automated risk assessment process in the GAT. The new process in the GAT would drive programmatic monitoring priorities while being supplemented by OCFO's scored risk assessment, which was developed in FY 2011 to determine financial monitoring priorities. The new GAT process utilized 27 risk criteria that consisted of existing information about the financial, administrative, and programmatic performance of grants from GMS and FMIS2 to assign a risk score and corresponding monitoring priority for each grant. The risk score is also aggregated by grantee. Grant managers used the monitoring priority, as well as their professional discretion from their knowledge of grantees' programmatic performance, as guidelines to determine which grants receive in-depth monitoring. The aggregated score is used to select the Multi-Office and Financial Monitoring site visits.

TABLE 3

OJP FY 2012 open, active grants and award amount as of October 1, 2011

	Number of Grants	Award Amount (in millions)
BJA	9,398	\$5,118.2
BJS	245	\$201.7
NIJ	1,004	\$615.3
OJJDP	1,770	\$1,224.5
OVC	575	\$1,895.3
SMART	142	\$46.3
Total	13,134	\$9,101.2

4.1 Monitoring Priority Levels

At the beginning of FY 2012, OJP had 13,134 open, active awards totaling \$9.1 billion distributed across OJP's six program offices as shown in Table 3 above. Prior to the start of FY 2012, OAAM used the GAT to generate risk scores and program office monitoring priority levels for 12,914 of OJP's open, active grants⁵. This initial assessment resulted in a high monitoring priority rating

⁵ OAAM ran the FY 2012 risk assessment on September 16, 2011. At that time there were a total of 12,914 open, active grants. Monitoring requirements are based on the open, active population as of October 1, 2011 which was 13,134 therefore there were 220 grants that were not included in the initial risk assessment from which the monitoring plan was selected from.



for 861 (7%) grants, a medium priority rating for 2,554 (20%) grants, and a low priority rating for 9,499 (74%) grants. Figure 1 displays the distribution of monitoring priority based on the initial risk assessment.

The 27 risk criteria used to assess the grants and provide risk scores and monitoring priorities focus on general grant information, as well as programmatic, financial, and compliance information about the grant and grantee. To assess a grant, the GAT will generate a total score for each criterion based on its relative importance by multiplying the numeric risk value by the numeric importance value. For example, a grantee designated as a DOJ high-risk grantee would receive a risk value of 2 and an importance value of 3. Therefore, the total Score for that criterion would be 6. A complete list of the 27 risk

criteria, points assigned to each criterion to differentiate risk, and the number of grants receiving those points can be found in Appendix A. The criteria that have an effect on the largest number of grants are displayed in the figures below. These criteria include award type, grantee type, award amount, delinquent FFRs and progress reports.

4.1.1 Award Type

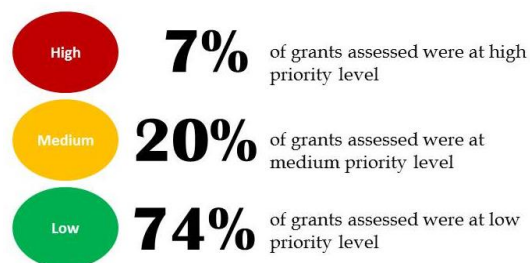
OJP grants fall into one of four types:

- ◆ Formula
- ◆ Discretionary
- ◆ Cooperative Agreement⁶
- ◆ Earmark

OAAM has assigned each award type a specific point value based on the variations of perceived risk and/or priority in monitoring for the award type. Figure 2 shows the percentage of OJP's grants by award type at the beginning of FY 2012.

FIGURE 1

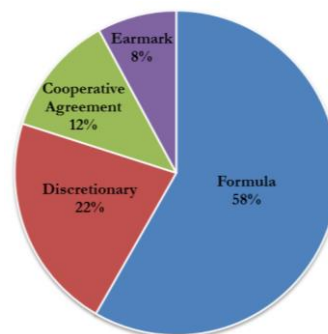
FY 2012 OJP distribution of monitoring priority levels based on initial risk assessment*



*The sum of the percentages do not total 100% due to rounding.

FIGURE 2

OJP grants by award type as of the FY 2012 initial monitoring decision period



⁶ OJP can use a cooperative agreement for discretionary funding or earmarks. OJP uses cooperative agreements to reflect the relationship between OJP and an eligible recipient when it anticipates substantial involvement with the recipient during performance of the contemplated activity. As a result of OJP involvement in these types of award, they are evaluated separately for monitoring purposes from standard discretionary and earmark awards.



4.1.2 Grantee Type

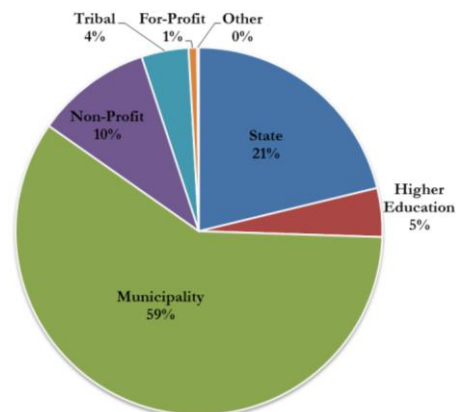
Recipients of OJP's grant funds fall into seven grantee type categories:

- ◆ Municipal
- ◆ State
- ◆ Non-profit
- ◆ Higher Education
- ◆ Tribal
- ◆ For-profit
- ◆ Other (which may include individuals)

OAAM has used information provided by the grantee and/or grant managers to categorize all of OJP's grantees into one of these seven categories. Similar to award type, OAAM has assigned a specific point value to each grantee type based on the variations of perceived risk and/or priority in monitoring for the grantee type. Figure 3 shows the percentage of OJP's grants by grantee type at the beginning of FY 2012.

FIGURE 3

OJP grants by grantee type as of the FY 2012 initial monitoring decision period



4.1.3 Award Amount

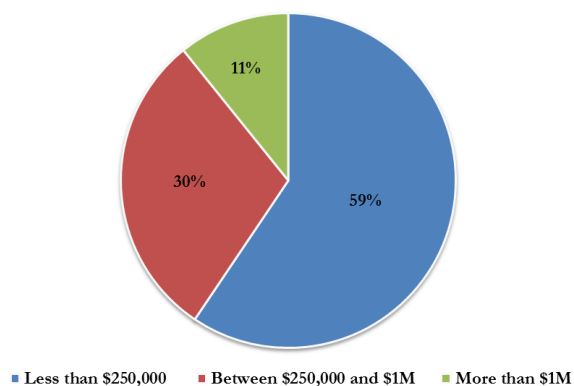
OAAM considers grants with award amounts greater than a designated threshold to pose a higher risk. OAAM has identified three award amount brackets to assign point values:

- ◆ Less than \$250,000
- ◆ Between \$250,000 and \$1 million
- ◆ More than \$1 million

Figure 4 shows the percentage of OJP's grants by the award amount range at the beginning of FY 2012. To avoid duplicative scoring, grants awarded to State Administering Agencies (SAAs) do not receive points for this criterion because their amounts are typically greater than \$1 million and receive points for being an SAA (See Appendix A).

FIGURE 4

OJP grants by award amount as of the FY 2012 initial monitoring decision period



4.1.4 Delinquent FFRs and Progress Reports

Two additional risk criteria that influence monitoring priorities are in the area of reporting compliance. Grantees are required to submit a quarterly Federal Financial Report (FFR) throughout the lifetime of the grant that documents project expenditures against grant



performance and progress. Additionally, grantees are required to submit regular progress reports throughout the lifetime of the grant that document the progress achieved on each task in relation to an approved schedule and project milestones for the reporting period⁷. For both of these reports, OAAM considers submission delinquency and repeated delinquency over the previous 12 months to be a risk factor that affects a grant's monitoring priority. OAAM has assigned specific point values to three brackets of delinquency:

- ◆ Never delinquent
- ◆ One time delinquent
- ◆ Two or more times delinquent

Figures 5 and 6 below show the percentage of grants that received points for these types of delinquencies at the beginning of FY 2012.

FIGURE 5

Percentage of OJP grants by number of delinquent FFRs during the previous 12 months as of the FY 2012 decision period

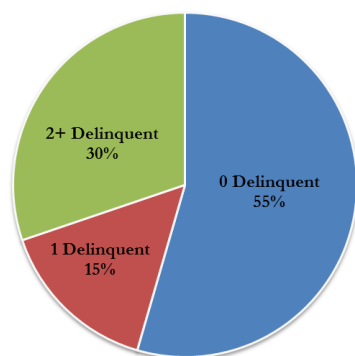
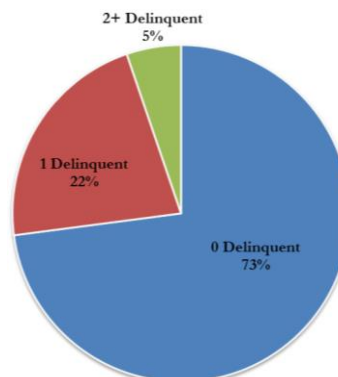


FIGURE 6

Percentage of OJP grants by number of delinquent progress reports during the previous 12 months as of the FY 2012 decision period



4.2 In-depth Programmatic Monitoring Decisions

One of the primary purposes of the initial assessment is to assist grant managers in making informed decisions on where to focus their monitoring efforts during the fiscal year. Program offices are encouraged to focus on high and medium priority grants. OAAM provides a comprehensive data set with the scores and details to the OCFO. The OCFO then develops its Financial Monitoring plan from that data set.

At the end of the FY 2012 monitoring decision period, OJP grant managers had planned to conduct in-depth monitoring for 1,193 grants. Among the grants selected for monitoring, 66% were high or medium priority. This was a significant change from FY 2011 where high and

⁷ For discretionary grants, grantees typically submit semi-annual progress reports while formula grants may require performance reports on a varying schedule.



medium priority grants comprised 43% of the plan. Table 4 outlines the fiscal year comparison of grants assessed by priority level and the composition of the monitoring plan for each year.

TABLE 4

Composition of OJP programmatic monitoring plan, by fiscal year and priority level

	FY 2011		FY 2012	
	Grants	Pct. of Total	Grants	Pct. of Total
Grants Assessed				
High Priority	582	8%	861	7%
Medium Priority	1,342	18%	2,554	20%
Low Priority	5,426	74%	9,499	74%
Totals	7,350		12,914	
Grants Selected for Monitoring				
High Priority	266	17%	347	29%
Medium Priority	415	26%	436	37%
Low Priority	901	57%	410	34%
Totals	1,582		1,193	

In FY 2012, grant managers were required to select one of six standard justification comments in the GAT if they chose not to monitor a high or medium priority grant. Table 5 shows that, by far, the most common justification comment selected was “Per program office policy or rotation.” If this justification comment was selected, the grant manager was required to provide an additional narrative describing in detail the applicable office policy affecting the decision. The most common narrative provided was that “the grant manager selected other high and medium priority grants to be monitored in order to meet the FY 2012 targets.”

TABLE 5

FY 2012 justifications provided by grant managers when choosing not to programmatically monitor high and medium priority grants

	BJA	BJS	NIJ	OJJDP	OVC	SMART	Totals
Reasons							
About to expire	80	12	61	83	26	3	265
Grant manager priority	174	9	13	90	13	0	299
Location	23	5	3	76	6	0	113
New grant; Too early to be visited	7	1	15	54	9	0	86
Per program office policy or rotation	1,456	11	41	146	12	7	1,673
Visited less than two years ago	71	13	43	106	12	8	253
Totals							
Number of grants	1,811	51	176	555	78	18	2,689



5. FY 2012 Overall OJP and COPS Office Monitoring Statistics

Statutory Monitoring Requirement

Each fiscal year, OJP and the COPS Office are required to fulfill a statutory requirement to programmatically monitor 10% of the total open, active award amount. Additionally, OJP is required to monitor 10% of the total number of open, active grants (5% for BJA).

In FY 2012, OJP program offices completed in-depth monitoring activities (site visits and EPDRs) for 1,214 grants, and the COPS Office completed on-site monitoring for 253 grants. Both OJP and the COPS Office exceeded the statutory requirement; OJP program offices monitored 22% (\$2.0 billion) and the COPS Office monitored 11% (\$270.2 million) of their open, active award amounts. Additionally, OJP exceeded its internal target to monitor 10% of its active grants by 44%.

OCFO conducted on-site financial monitoring for 488 grants totaling \$1.3 billion.⁸ Table 6 below displays the types of monitoring completed by OJP program offices, the COPS Office, and OCFO in terms of award amounts and number of grants monitored throughout the fiscal year. Among the 488 grants that were financially monitored by OCFO, 409 were OJP and COPS Office grants (79 grants were from OVW and outside the scope of this report).

TABLE 6

FY 2012 Completed monitoring for OJP, the COPS Office, and OCFO*

	Number of Grants	Award Amount (in millions)
Programmatic Monitoring		
OJP	1,214	\$2,029.7
COPS Office	253	\$270.2
Financial Monitoring		
OCFO monitoring of OJP and COPS Office grants	409	\$1,215.4
Total Programmatic and Financial Monitoring**	1,670	\$2,875.4

*This table includes only the OCFO monitoring of OJP and COPS Office grants.

**The total programmatic and financial monitoring numbers are the sum of OJP, the COPS Office, and OCFO monitoring minus the overlap between OCFO and OJP and the COPS Office.

Among the 409 OJP and COPS Office grants financially monitored by OCFO, 206 were also programmatically monitored by either OJP program offices or the COPS Office. Therefore, in total, 1,670 OJP and COPS Office grants totaling \$2.9 billion received programmatic and/or financial monitoring during FY 2012.

⁸ OCFO performs financial monitoring for grants administered by OJP, the COPS Office, and OVW. With the exception of financial monitoring conducted by OCFO, OVW monitoring is outside the scope of this report.



5.1 In-depth Programmatic Monitoring Completed

Section Highlight

70% of OJP's in-depth programmatic monitoring was conducted through EPDRs which covered 678 grants.

OJP's in-depth monitoring activities include site visits, multi-office site visits (MOSV), and EPDRs, which enable grant managers to follow up on issues raised during the desk review, verify grantee activities, validate reported information, and assess the project implementation. Completed and properly documented site visits and EPDRs are applied toward OJP's monitoring targets and are tracked

in GMS along with any issues for resolution. In FY 2012, the COPS Office conducted on-site monitoring only to meet its statutory requirement.

In FY 2012, more than half of the 1,214 OJP grants monitored were monitored through EPDRs (56% or 678 grants). This figure represents a 122% increase in grants monitored through EPDRs from FY 2011. There was also a 44% decrease in the number of grants monitored through site visits from FY 2011 to FY 2012. The COPS Office conducted site visits on 253 grants with a total award amount of \$270.2 million in FY 2012. Table 7 breaks down the type of monitoring performed by both components.

Over the last three fiscal years, OJP's on-site monitoring has decreased from 1,447 awards receiving on-site monitoring in FY 2010 to 536 in FY 2012 (a 63% decrease). This decrease can be attributed to the creation of the EPDR process in FY 2011, which were established as a remote in-depth monitoring alternative to address the significant reduction of travel funds as provided in the FY 2011 Continuing Resolution. At the same time, MOSVs were created as a way to more efficiently monitor a larger number of grants with fewer resources at the grantee site. Figure 7 displays the shift from traditional on-site monitoring to EPDRs and MOSVs by OJP over the past three fiscal years, as represented by submitted monitoring packages⁹.

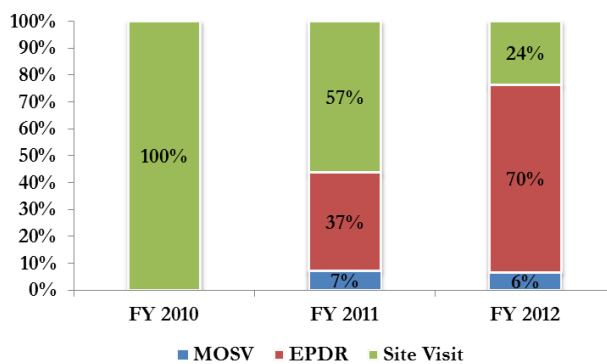
TABLE 7

FY 2012 OJP and the COPS Office completed programmatic in-depth monitoring by type

	Number of Grants	Award Amount (in millions)
OJP		
EPDR	678	\$815.2
On-site Monitoring	345	\$712.4
MOSV	191	\$502.1
OJP Total	1,214	\$2,029.7
COPS Office		
On-site Monitoring	253	\$270.2

FIGURE 7

Type of in-depth programmatic monitoring completed by OJP in FY 2010-2012, by number of monitoring packages



⁹ As part of the post monitoring activities, grants managers must complete and submit a monitoring package that consists of a report (submitted internally) and post-monitoring letter to the grantee.



5.2 Joint Site Visits among OJP, COPS Office, and OCFO

Section Highlight

The total award amount monitored through joint programmatic and financial site visits increased 88% and the number of grants monitored increased more than four times the number of grants from FY 2010 to FY 2012.

In FY 2012, DOJ continued to emphasize the planning and coordination of joint site visits across the grant-making components to maximize monitoring efforts and minimize the burden to the grantee. In FY 2012, OJP and OCFO conducted joint programmatic and financial monitoring site visits to 10 grantees, covering 181 grants and totaling \$529.5 million. Seven of these visits, covering 178 grants and \$497.1 million were conducted through MOSV.

In FY 2012, OJP's program offices and OCFO continued an effort started in FY 2011, which focuses joint programmatic and financial monitoring on grantees representing the greatest risk to DOJ. In FY 2012, there was a decrease in number of joint site visits from previous years, but an increase of more than four times the number of grants jointly monitored and an increase of 88% of the award amount jointly monitored from FY 2010 to FY 2012. Table 8 details the joint monitoring completed by OJP and OCFO in FY 2010, 2011, and 2012.

TABLE 8

FY 2010, FY 2011, and FY 2012 joint monitoring by OJP program offices and OCFO

	FY 2010	FY 2011	FY 2012
Award amount monitored (in millions)	\$282.0	\$411.9	\$529.5
Number of grantees monitored	19	18	10
Number of grants monitored	40	164	181

5.3 Required, Planned, and Completed In-depth Programmatic Monitoring

Section Highlights

- ◆ OJP exceeded its statutory monitoring requirement by \$1.1 billion and exceeded its planned monitoring by \$325.5 million.
- ◆ Each OJP program office individually exceeded its statutory and additional OJP monitoring requirements.
- ◆ FY 2012 marked the first time OJP's programmatic monitoring plan was both met and exceeded.

OAAM tracks the programmatic monitoring levels for OJP and the COPS Office to gauge the completion rates against statutory requirements and internal targets, and adherence to monitoring plans established at the beginning of each fiscal year. At the end of FY 2012, OJP and the COPS Office completed 754 site visits and EPDRs, monitoring 1,467 grants totaling \$2.3 billion. This represents an 18% increase in the number of site visits and a 9% increase in the number of grants monitored over FY 2011 totals. However, this also represents an 8% decrease in the total award amount monitored from FY 2011.

OJP's completed award amount monitored exceeded the statutorily required level by \$1.1 billion and exceeded the award amount that was planned to be monitored by \$325.5 million. Also, the number of grants monitored exceeded the required number by 370 and was 21 grants more than originally planned.



Figure 8 illustrates the award amount and number of grants required, planned, and completed to reach OJP’s monitoring requirements for FY 2012.

FIGURE 8

FY 2012 OJP open, required, planned, and completed programmatic in-depth monitoring, by number of grants and award amount (in millions)

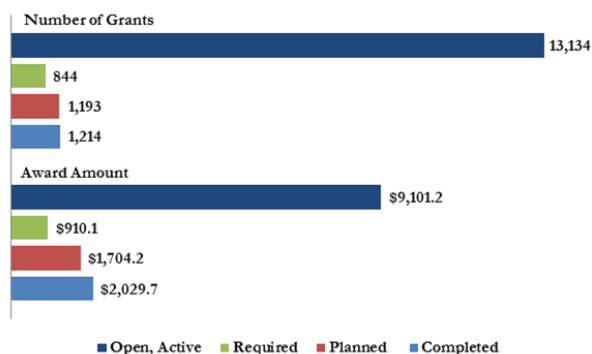
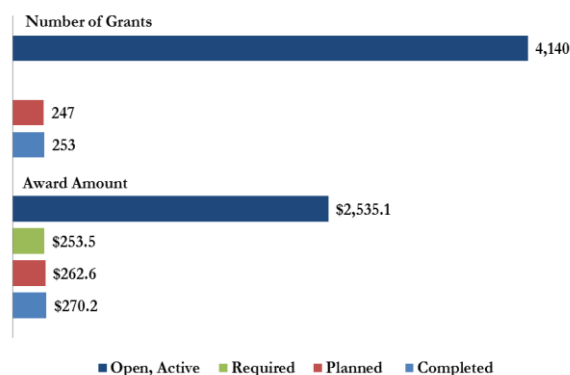


FIGURE 9

FY 2012 COPS Office open, required, planned, and completed programmatic in-depth monitoring, by number of grants and award amount (in millions)*



*The COPS Office does not have a requirement for number of grants to monitor.

Monitoring completed by the COPS Office exceeded the statutory requirement by \$16.7 million and exceeded its planned monitoring by six grants. Figure 9 above illustrates the award amount and number of grants required, planned, and completed to reach the COPS Office’s monitoring thresholds for FY 2012. The COPS Office does not have a requirement for number of grants to monitor.

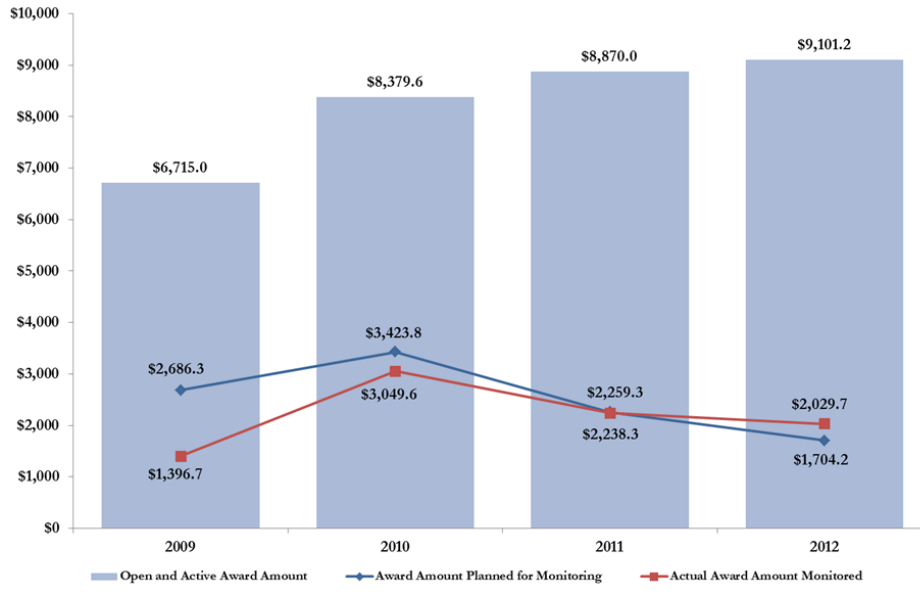
In the FY 2012 initial decision period, September 16, 2011 to October 19, 2011, OJP planned to monitor \$1.7 billion and completed in-depth monitoring of \$2 billion, or more than 100% of the amount which was originally planned. This is an improvement over the past three fiscal years, as it is the first time that the initial plan was exceeded.

Figure 10 below illustrates OJP’s trend over the past four fiscal years of award amount planned for monitoring versus the award amount actually monitored, against the total open, active award amount for each fiscal year. The figure also illustrates the increase in open award amount over the fiscal years.



FIGURE 10

Comparison of FY 2009-2012 OJP planned and completed programmatic in-depth monitoring by award amount (in millions)



During the FY 2012 monitoring decision period, OJP grant managers selected and recorded 1,193 grants for in-depth monitoring in the GAT. Over the course of the fiscal year, because grants were added and removed from the plan as priorities shifted and areas of risk were identified or mitigated, OJP grant managers selected 1,633 grants for in-depth monitoring. Among the 1,633 grants selected in the GAT, 1,046 (64%) were monitored in FY 2012. An additional 165 grants (14%) were monitored during FY 2012, which program offices did not identify for monitoring in the GAT, which resulted in not being captured in the DOJ monitoring plan.

It is important to identify and record in the GAT which grants will be monitored, as these are subsequently included in the DOJ-wide plan, which allows for better planning, coordination, and collaboration across program offices and DOJ components. Equally important is holding grant managers accountable for their monitoring plans, so that grants are not removed from the plan without sound reasoning. In FY 2013, OAAM will closely monitor site visits and EPDRs initiated in GMS to determine those which were not identified for monitoring in the GAT.

Table 8 below presents the award amount of open, active grants, required statutory monitoring thresholds, and completed monitoring for each program office. Each program office within OJP individually exceeded this requirement to monitor 10% of total funding by the end of FY 2012. OJP as a whole exceeded the 10% requirement by \$1.1 billion, or 123% of the required amount. The COPS Office also exceeded the requirement by \$16.7 million or 7% more than the required amount.



TABLE 8

FY 2012 OJP and the COPS Office open, required, and completed programmatic in-depth monitoring, by award amount (in millions)

	Open, Active Award Amount	Required	Completed	Amount Exceeding Requirement
OJP				
BJA	\$5,118.2	\$511.8	\$1,037.2	\$525.4
BJS	\$201.7	\$20.2	\$76.8	\$56.6
NIJ	\$615.3	\$61.5	\$122.1	\$60.6
OJJDP	\$1,224.5	\$122.4	\$344.9	\$222.5
OVC	\$1,895.3	\$189.5	\$443.7	\$254.2
SMART	\$46.3	\$4.6	\$5.0	\$0.4
OJP Total	\$9,101.2	\$910.1	\$2,029.7	\$1,119.6
COPS Office	\$2,535.1	\$253.5	\$270.2	\$16.7
OJP & COPS Office Total	\$11,636.3	\$1,163.6	\$2,299.9	\$1,136.3

Table 9 below presents a breakdown of each program office's number of open, active grants, their required OJP monitoring thresholds, and the number of in-depth monitoring completed. Each program office either met or exceeded OJP's requirement to monitor 10% (5% for BJA) of the number of all open, active grants, even as the total number of open, active grants increased. As a whole, OJP program offices exceeded the required threshold by 370 grants. Note: the COPS Office does not have a requirement for number of grants to monitor.

TABLE 9

FY 2012 OJP and COPS Office open, required, and completed programmatic in-depth monitoring, by number of grants

	Open, Active Grants	Required	Completed	Number Exceeding Requirement
OJP				
BJA	9,398	470	553	83
BJS	245	25	31	6
NIJ	1,004	100	125	25
OJJDP	1,770	177	360	183
OVC	575	58	131	73
SMART	142	14	14	0
OJP Total	13,134	844	1,214	370
COPS Office	4,140	N/A	253	N/A
OJP & COPS Office Totals	17,274		1,467	

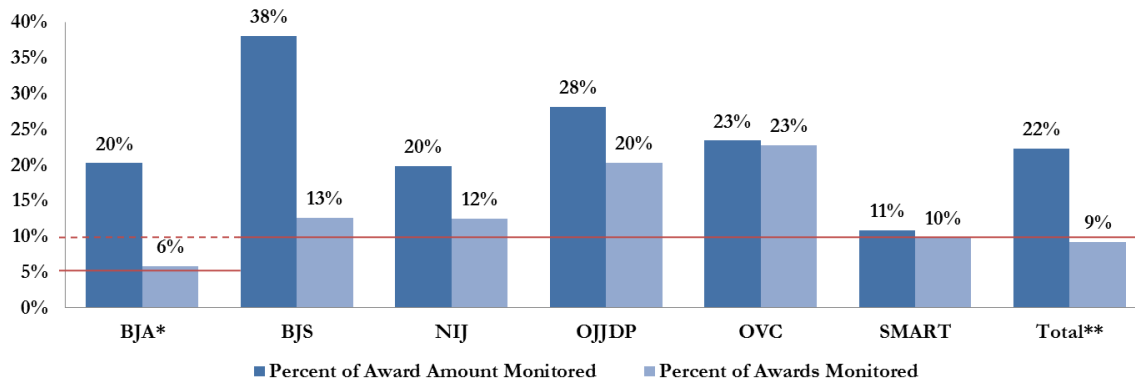
*The required monitoring level for the number of grants is 10% of the number of open, active grants each year for all program offices except BJA, for which the required monitoring threshold is 5%.

Figure 11 below illustrates the percent of total awards and total award amount monitored by OJP program offices in FY 2012. The red line denotes the 10% required threshold.



FIGURE 11

FY 2012 percent of OJP's in-depth programmatic monitoring of total number of grants and total award amount, by program office



*The required monitoring level for the number of grants is 10% of the number of open, active grants each year for all program offices except BJA, for which the required monitoring threshold is 5%.

**Because of the lower required threshold for BJA, OJP's overall total required threshold is 844 grants, or 6.4%.

5.4 Quarterly In-depth Programmatic Monitoring Completed

Section Highlight

The majority of program offices conducted in-depth monitoring in Q2 and Q3 except OVC and OJJDP, which both conducted 50% of their in-depth monitoring in Q4.

OJP program offices and the COPS Office complete in-depth monitoring throughout the fiscal year. OAAM encourages program offices to conduct a percentage of monitoring early in the fiscal year so that potential problems can be identified and risk mitigated early in the grant cycle. Figure 12 shows the number and dollar amount of awards monitored in each quarter of FY 2012. OJP and the COPS Office completed the least amount of monitoring

by number of awards and total award amount in Q1. OJP and the COPS Office completed the largest proportion of number of awards in Q4 and the largest proportion of total award amount in Q3.

Figure 13 shows the quarterly monitoring percentages for each of the OJP program offices and the COPS Office. OVC and the COPS Office did not perform any monitoring in Q1. Additionally, majority of program offices conducted in-depth monitoring in Q2 and Q3 except OVC and OJJDP, which both conducted 50% of their in-depth monitoring in Q4.

FIGURE 12

FY 2012 OJP and the COPS Office award amount (in millions) and number of grants programmatically monitored, by quarter

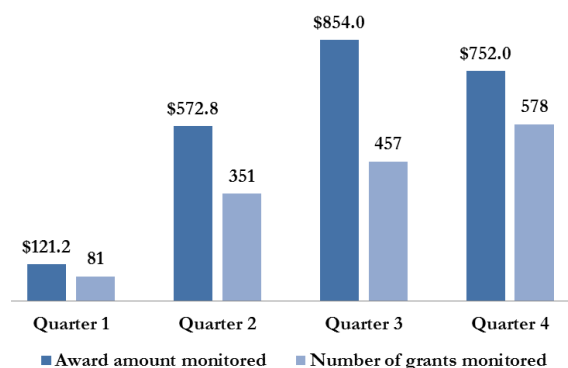
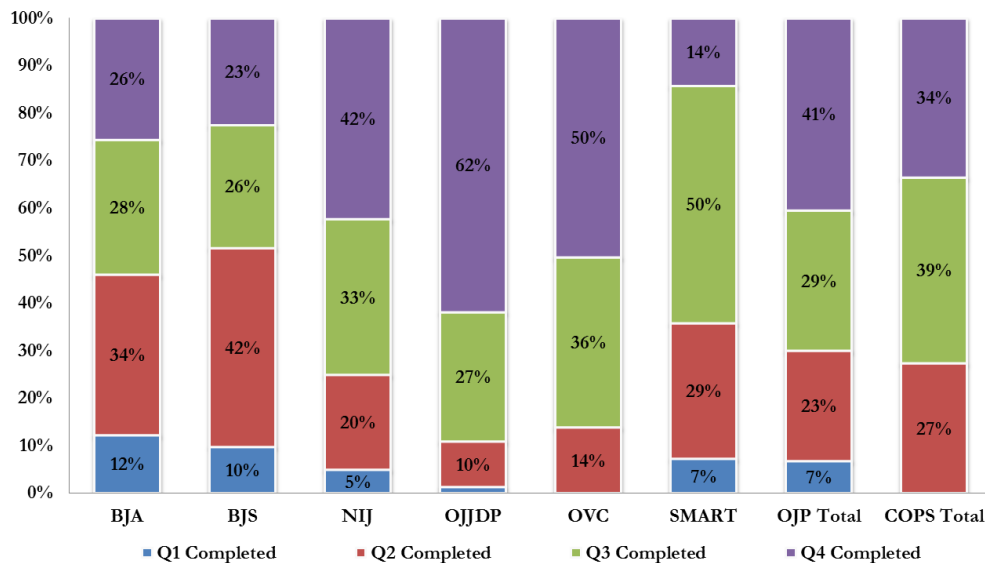




FIGURE 13

FY 2012 percent of total number of grants programmatically monitored each quarter, by OJP program office and the COPS Office

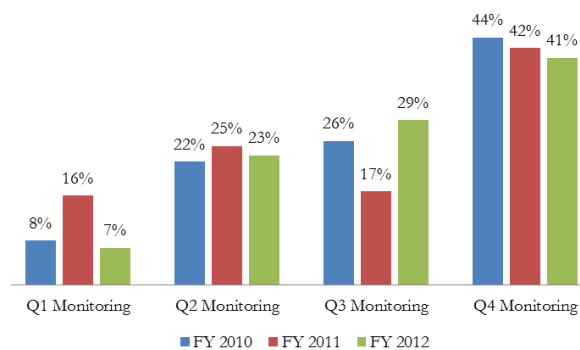


The overall trends displayed in Figure 13—low monitoring in Q1, with the majority of monitoring taking place in the second half of the fiscal year—have remained consistent over the past three fiscal years, with two notable exceptions. Those exceptions are the first and third quarters of FY 2011.

In FY 2011, the timeline for the development of the OJP monitoring plan was moved up, in part to allow program offices to complete more of their monitoring during the first quarter of the fiscal year. As a result, the number of grants monitored in Q1 increased from 115 in FY 2010, to 179 grants in FY 2011. In FY 2010, Q1 monitoring accounted for 8% of all grants monitored. In FY 2011, these numbers increased to 16% of all grants monitored. However, in FY 2012 program office monitoring during the first quarter fell to near FY 2010 levels, with only 7% of grants monitored. Figure 14 illustrates monitoring by quarter over the past three fiscal years.

FIGURE 14

OJP quarterly monitoring past three fiscal years by percent of awards monitored



Also in the third quarter of FY 2011, as a result of the FY 2011 Continuing Resolution, OJP had a significant reduction in its Salaries and Expenses (S&E) account, which funds federal travel costs. In April 2011, OJP froze most travel, including travel for on-site monitoring, to reduce



spending from the S&E account. The outcome from this action was a significant decrease in third quarter monitoring from the previous year. The effect of the travel funding restrictions on third quarter monitoring is illustrated in Figure 14. Increasing first quarter monitoring remains a priority for OAAM and it will continue to explore methods to assist program offices in achieving this goal.

5.5 Fiscal Year Comparison of Completed OJP and COPS Office In-depth Programmatic Monitoring

Section Highlight

OJP increased the number of awards monitored from FY 2011 to FY 2012 by 8% percent; however there was a 9% decrease from the total award amount monitored in FY 2011.

OAAM compares the amount of monitoring completed by OJP program offices and the COPS Office against the open, active award totals across fiscal years as a way to gauge how monitoring levels have changed over time. In FY 2012, OJP program offices monitored more than twice the award amount statutorily required; however, there was a 9% decrease (\$207.7 million) in the dollar value monitored from FY 2011.

While the award amount monitored in FY 2012 decreased from FY 2011, OJP program offices exceeded the goal to monitor 10% (or 5% for BJA) of the number of open, active awards, monitoring 8% more than in FY 2011.

The COPS Office increased both the number of awards and award amount monitored in FY 2012. Tables 10 and 11 compare these award amounts and number of grants monitored, respectively, by OJP and the COPS Office, across fiscal years.

TABLE 10

Comparison of FYs 2010, 2011, and 2012 completed programmatic monitoring for OJP and the COPS Office, by award amount (in millions)

	FY 2010	FY 2011	FY2012
OJP			
Total award amount of open, active grants	\$8,379.6	\$8,875.5	\$9,101.2
Award amount monitored	\$3,049.6	\$2,237.4	\$2,029.7
Percent of open, active award amount monitored	36%	25%	22%
COPS Office			
Total award amount of open, active grants	\$2,224.4	\$2,523.4	\$2,535.1
Award amount monitored	\$234.7	\$267.9	\$270.2
Percent of open, active award amount monitored	11%	11%	11%



TABLE 11

Comparison of FYs 2010, 2011 and 2012 completed programmatic monitoring for OJP and the COPS Office, by number of grants

	FY 2010	FY 2011	FY2012
OJP			
Total of open, active grants	12,394	13,504	13,134
Number of grants monitored	1,447	1,121	1,214
Percent of open, active grants monitored	12%	8%	9%*
COPS Office			
Total of open, active grants	3,776	4,517	4,140
Number of grants monitored	185	230	253
Percent of open, active grants monitored	5%	5%	6%

*OJP's overall total of awards monitored is less than 10% because BJA's requirement is 5%. All OJP program offices, and therefore OJP as a whole exceeded its requirements.

6. FY 2012 Focused Monitoring

6.1 Recovery Act Grant In-depth Monitoring

OJP Recovery Act Programmatic Monitoring Policy

OJP program offices are required to monitor 10% of the number of Recovery Act grants by program or one grant per program, whichever is greater, ensuring that in-depth monitoring is conducted for at least 30% of the amount of funds awarded over the lifetime of the Recovery Act program.

COPS Office Recovery Act Monitoring Goal

The COPS Office set a goal to conduct monitoring for at least 30% of the amount of funds awarded under the Recovery Act program by fiscal year 2015, contingent on available staff resources.

Section Highlights

- ◆ OJP programmatically monitored 81% of all funds awarded under the Recovery Act program from FY 2009 to FY 2012 totaling \$2.2 billion (22% of its Recovery Act grants).
- ◆ The COPS Office has monitored 40% of all funds awarded under the Recovery Act program from FY 2009 to FY 2012 (16% of its Recovery Act grants).

As of October 1, 2011, OJP had 3,074 open, active Recovery Act grants totaling \$2.6 billion, and the COPS Office had 1,033 totaling \$993.8 million. Table 12 below details the award amounts and number of Recovery Act grants monitored by OJP program offices, the COPS Office, and OCFO in FY 2012. During FY 2012, OJP programmatically monitored 261 (8%) of open, active Recovery Act grants and \$475.6 million (18%) open, active Recovery Act funds. The COPS Office monitored 56 (5%) of their open, active Recovery Act grants totaling \$127.0 million (17%). In addition, OCFO conducted financial monitoring for 56 OJP and the COPS Office Recovery Act awards totaling \$473.2 million in FY 2012.



TABLE 12

FY 2012 completed Recovery Act monitoring for OJP, the COPS Office, and OCFO*

	Number of Grants		Award Amount Totals (in millions)	
	Open, Active	Monitored	Open, Active	Monitored
Programmatic Monitoring				
OJP	3,074	261	\$2,581.5	\$475.6
COPS Office	1,033	56	\$993.8	\$127.0
Financial Monitoring				
OCFO*	N/A	46	N/A	\$453.0

*OCFO monitoring total includes OJP and the COPS Office awards.

In FY 2012, OJP program offices monitored 261 Recovery Act grants, and all OJP program offices, with the exception of OJJDP, met or exceeded their program specific monitoring requirements. For a detailed table of OJP program offices' Recovery Act planned and completed monitoring, see Appendix B.

FIGURE 15

OJP Recovery Act completed lifetime programmatic monitoring

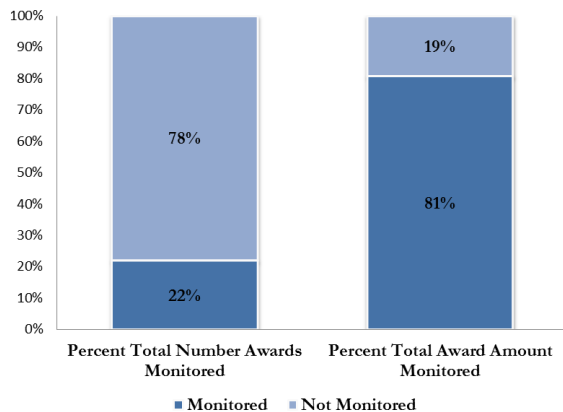
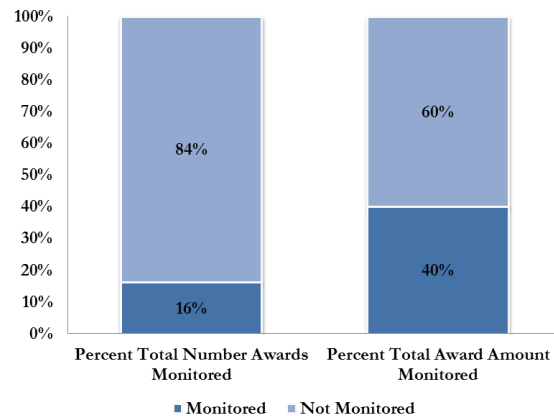


FIGURE 16

COPS Office Recovery Act completed lifetime monitoring



Under the Recovery Act program, OJP program offices awarded 4,002 grants totaling \$2.8 billion under the Recovery Act Program. Since FY 2009, OJP has programmatically monitored 22% (876 grants) of its Recovery Act grants and 81% (\$2.2 billion) of the awarded funds. Figure 15 above outlines OJP's lifetime Recovery Act programmatic monitoring.

Also under the Recovery Act program, the COPS Office awarded 1,026 grants totaling \$988.1 million. Since 2009, the COPS Office has monitored 16% (166 grants) of these grants and 40% (\$395.4 million) of the awarded funds. Figure 16 above outlines the COPS Office's lifetime Recovery Act monitoring.

In analyzing OJP's Recovery Act monitoring, OAAM found a disparity between the award amount monitored and number of awards monitored. OJP programmatically monitored 81% monitored 81% of total Recovery Act funds, which represented 22% of total number of awards.



OAAM found that the disparity between the number of awards and the total award amount monitored is due in large part to the number of awards under the under BJA's Local JAG program.

Awards granted under the BJA Local JAG program comprise over three quarters of OJP's Recovery Act awards; and on average Local JAG grants have lower dollar amounts, with more than half of the grants awarded under the solicitation for under \$50,000. Of the 4,002 OJP Recovery Act Awards, 3,317 (83%) were awarded under the Local JAG program. However, these 3,317 awards only totaled \$752 million, or 27%, of OJP's total Recovery Act funds awarded. BJA monitored 15% of Local JAG Recovery Act awards and 63% of the awarded funds.

To get a better understanding of the monitoring activity for other Recovery Act programs, OAAM examined data which excluded the Local JAG program data. When removing the awards under BJA's Local JAG program from the monitoring calculations, it showed that OJP programmatically monitored 54% of total number of awards from the remaining Recovery Act grant programs. This is important differentiation as it shows that more than half the number of grants were monitored across those Recovery Act programs. Figures 17 and 18 break down these figures and compare OJP Recovery Act monitoring with and without the Local JAG program.

6.2 DOJ High Risk Grantees

DOJ's High Risk Designation Policy

DOJ designates grantees as high risk based on a number of factors in accordance with criteria established in 28 CFR 66.12, OJP Order 2900.2 and Chapter 10 of the Grant Manager's Manual. (This designation is not related to the high priority designation assigned grants for purposes of monitoring.) OAAM's Audit and Review Division manages DOJ's high risk program on behalf of the OJP, the COPS Office, and OVW. This entails coordinating the high-risk grantee list and working to either resolve the issues underlying the high-risk designation or impose conditions on high risk grantees to ensure appropriate stewardship of federal funds and enhance programmatic results.

FIGURE 17

OJP Recovery Act completed lifetime programmatic grant monitoring with and without JAG Local Program

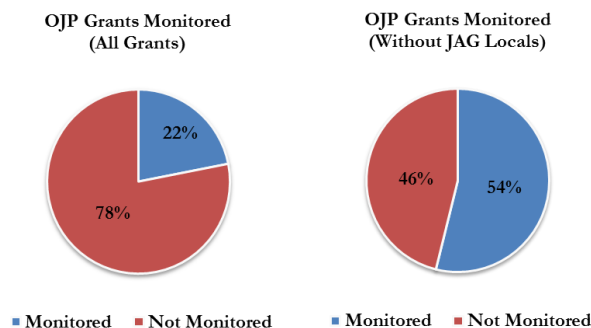
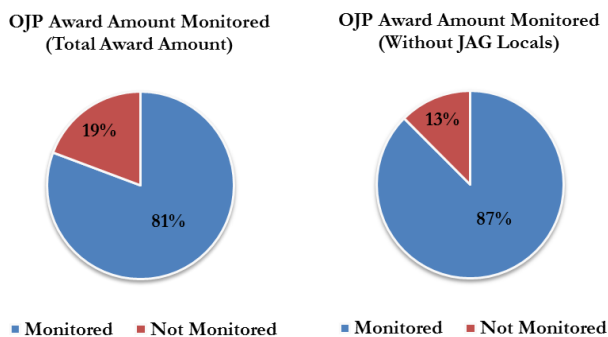


FIGURE 18

OJP Recovery Act completed lifetime award amount programmatic monitoring with and without JAG Local Program





Section Highlight

OJP and the COPS Office programmatically monitored 31% of the grantees with active grants on the DOJ High Risk List during FY 2012.

Grantees on the DOJ High Risk List are given priority for in-depth monitoring. Grantees with outstanding audit issues or identified risk factors (e.g., new grantees, ongoing reporting non-compliance) can benefit from direct programmatic and/or financial technical assistance to resolve issues and work toward mitigating potential or actual risks.

As shown in Table 13, OJP and the COPS Office had 36 grantees with active grants on the DOJ High Risk List with 156 grants totaling \$102.6 million at the beginning of FY 2012. This is a significant decrease from FY 2011 where there were 68 active grantees on the High Risk List with 284 grants totaling \$335 million. This decrease represents a 47% decrease in number of grantees with open, active grants, a 45% decrease in the number of grants, and a 69% decrease in total award amounts for grantees on the list.¹⁰ In addition, BJA and OJJDP monitored six additional grants totaling \$2.1 million. OCFO also monitored four of these six awards for a total of \$1.2 million. Since these six additional grants were not open and active on October 1, 2011, they are not reflected in the table below.

TABLE 13

FY 2012 OJP and the COPS Office total monitored active grantees and grants on the DOJ High-Risk List as of October 1, 2011*

	High Risk Grantees	Number of Grants	High Risk Grantees Monitored	Number of Grants Monitored
OJP				
BJA	21	60	6	17
BJS	1	1	0	0
NIJ	4	9	1	3
OJJDP	7	33	1	14
OVC	4	12	2	5
SMART	4	5	2	3
OJP Total*	27	120	10	42
COPS	15	36	1	2
OJP & COPS Programmatic Total	36	156	11	44
OCFO Financial Monitoring	**	**	4	44

*High risk grantees may have grants with multiple program offices.

**OCFO does not have its own grants but monitors OJP, the COPS Office, and OVW grants. This table reflects only OCFO's monitoring of OJP and COPS grants.

¹⁰ Several grantees had awards in multiple program offices, which had the potential to be monitored by more than one program office throughout the year. As a result, some grantees were included in the figures for more than one office. However, these grantees were only counted once in the total number of grantees on the DOJ High Risk List and the total number of high risk grantees monitored by OJP and the COPS Office.



At the end of the fiscal year, OJP and the COPS Office had conducted in-depth programmatic monitoring for 11 high risk grantees, which included 44 grants totaling \$28.6 million or 28% of the total award amount. OCFO completed financial monitoring on four grantees with 44 grants totaling \$35.4 million.

TABLE 14

FY 2012 OJP and the COPS Office total monitored award amount on the DOJ High-Risk List as of October 1, 2011 (in millions)*

	High Risk Grantees Award Amount	Award Amount Monitored	Percent of Award Amount Monitored
OJP			
BJA	\$46.5	\$14.7	32%
BJS	\$0.02	\$0.0	-
NIJ	\$6.3	\$5.3	84%
OJJDP	\$11.5	\$1.6	14%
OVC	\$7.6	\$2.9	38%
SMART	\$1.1	\$0.67	61%
OJP Total*	\$73.1	\$25.2	34%
COPS Office	\$29.5	\$3.4	12%
OJP & COPS Office Programmatic Total	\$102.6	\$28.6	28%
OCFO Financial Monitoring	**	\$35.4	**

*High risk grantees may have grants with multiple program offices.

**OCFO does not have its own grants but monitors OJP, the COPS Office, and OVW grants.

This table reflects only OCFO's monitoring of OJP and COPS Office grants.

OAAM is focusing this year on the monitoring of grantees on the DOJ High Risk List during the last three fiscal years. This historical perspective is important to ensure that monitoring is occurring for these grantees in need of additional oversight and training and technical assistance. Among the 36 active grantees on the DOJ High Risk List at the beginning of the fiscal year; OJP, the COPS Office, and OCFO have programmatic and/or financially monitored 20 of these grantees (56%) over the past three fiscal years. OAAM will continue to encourage the OJP program offices and the COPS Office to monitor the remaining 16 grantees over the next fiscal year.

6.3 OJP Program Office Desk Reviews

OJP Desk Review Policy

OJP program offices must complete a desk review for each open, active grant at least once annually.

OJP program offices conduct annual desk reviews on all active grants to assess progress toward stated project goals and objectives, and to review grantee submitted reports and other information in the existing grant file to determine programmatic and administrative compliance. In FY 2012, OJP grant managers conducted desk reviews on 13,620 grants. At the end of FY 2012, only two active grants were left without receiving an annual desk review.



Section Highlights

- ◆ In FY 2012, OJP program offices completed 13,620 desk reviews.
- ◆ OJP decreased its annual outstanding desk review completion totals from 50 in FY 2011 to two in FY 2012.
- ◆ BJA completed 75% of their desk review by the end of second quarter of FY 2012.

This is an improvement over FY 2011 in which 50 active OJP grants had not received an annual desk review by the end of the fiscal year. Table 15 below shows the number of desk reviews performed by each office as well as the number of open grants at the conclusion of the fiscal year which had not received a desk review.

OAAM places a priority on performing desk reviews on grants early in the fiscal year. It is important to perform this basic level of monitoring early so that potential risks can be identified and addressed early, and in-depth monitoring can be planned and performed accordingly.

Figure 19 below highlights the quarters that each program office performed their desk reviews. BJA focused its desk review efforts in Q2, completing 75% of their desk reviews by the end of that quarter. BJS performed 1% of their desk reviews in Q1, but increased focus in Q2 and Q3. OJJDP and the SMART Office had both only completed 2% of their desk reviews by the end of Q2 (1% in each quarter), focusing their desk review efforts on the latter half of the fiscal year. Three program offices, BJS, NIJ, and the SMART Office, completed 50% or more of their desk reviews in Q4.

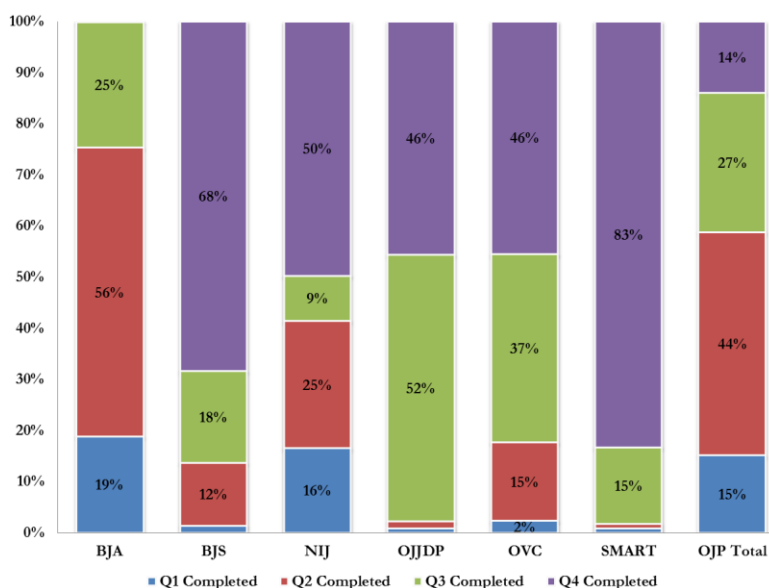
TABLE 15

FY 2012 complete and incomplete desk reviews by program office

	Completed	Not Completed
BJA	9,788	0
BJS	228	0
NIJ	1,093	1
OJJDP	1,760	1
OVC	625	0
SMART	126	0
Totals	13,620	2

FIGURE 19

FY 2012 desk reviews completed by quarter.





6.4 In-depth Monitoring Package Delinquencies

OJP In-Depth Monitoring Documentation Policy

OJP policy states that grant managers submit, and first-line supervisors (FLS) approve, in GMS a site visit/enhanced programmatic desk review (monitoring) package, which consists of a report, completed checklist, supporting documentation and a post-monitoring letter, within 45 days of the review end date. Monitoring packages must be submitted and approved within 45 days of the review, as grantees do not receive official notification of the results of the review until the package is approved in GMS.

Section Highlight

More than half of all OJP programmatic monitoring (site visit and enhanced programmatic desk review) packages were delinquent in FY 2012.

In FY 2012, 51%¹¹ of all OJP programmatic monitoring packages were approved after the 45-day deadline and considered delinquent. OJJDP (62%) and BJA (65%) had the highest percentage of late packages. Among the 329 delinquent packages, 82% were submitted by the grant manager to the first-line supervisor (FLS) after the 45-day deadline. The remaining 61 packages were submitted to the FLS within 45 days of the review end date, but were

approved after the 45-day deadline, which made them delinquent as well. Table 16 below, displays the distribution of monitoring package delinquencies.

The OCFO conducted 49 site visits in FY 2012, of which, 20% of the financial monitoring reports were approved after the 45-day deadline. The delinquent reports included one that reviewed two large vendor contracts as well as grants, a very complex high risk grantee, and a tribe with a unique tax requiring Office of General Counsel review.

TABLE 16

FY 2012 OJP number of delinquent monitoring packages, by program office

	BJA	BJS	NIJ	OJJDP	OVC	SMART	Totals
Package Delinquency							
Total number of completed monitoring packages	377	13	98	99	48	12	647
Total number of delinquent monitoring packages	244	2	18	61	2	2	329
Percent of delinquent monitoring packages	65%	15%	18%	62%	4%	17%	51%
Role Duration							
Number of packages with grant manager >45 days	203	2	8	51	2	2	268
Number of packages submitted to FLS but not approved within 45 days	41	0	10	10	0	0	61

¹¹ There were nine EPDRs and one MOSV that were incorrectly entered into GMS as “other” instead of “full monitoring.” Due to this error, these monitoring packages did not follow the same workflow as a full monitoring review in GMS. Therefore, we were unable to track if these packages were submitted and approved prior to becoming delinquent. These 10 packages are not included in Tables 18 and 19.



Figure 20 illustrates the trend in delinquent monitoring packages over the past three fiscal years. In FY 2010, 224 (38%) of monitoring packages were approved after the 45-day timeframe. That number increased to 244 (48%) in FY 2011, even as the number of packages submitted fell that year. In FY 2012, the number of delinquent packages increased 35% to 329 submitted after the 45-day timeline. These 329 delinquent packages represent 51% of the total number of packages submitted in FY 2012.

FIGURE 20

OJP totals of delinquent monitoring packages in FY 2010, FY 2011, and FY 2012

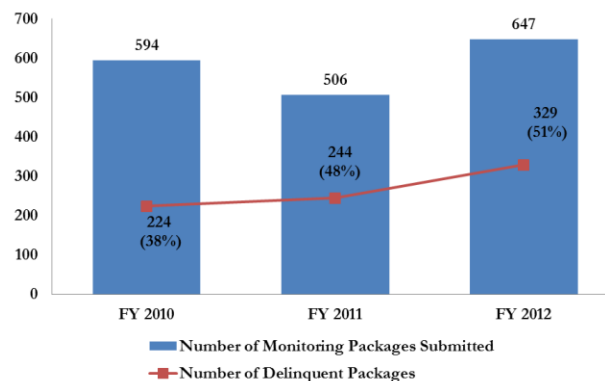
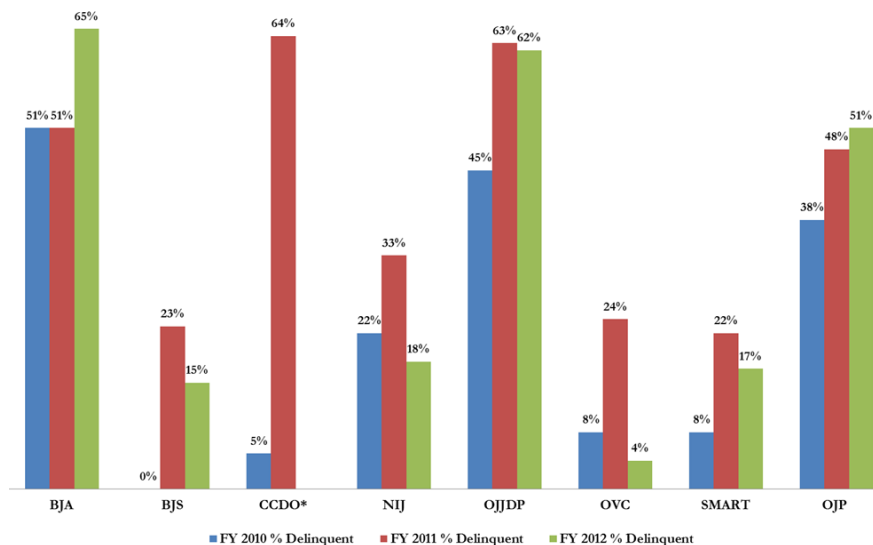


Figure 21 breaks down the delinquencies over the last three years by program office. As illustrated below, all program offices saw a significant reduction of delinquent packages with the exception of OJJDP, which decreased by a single percentage point and BJA which increased by 14 percentage points.

FIGURE 21

Delinquent monitoring packages in FY 2010, 2011, and 2012, by program office



*Federal funding reductions in FY 2011 included CCDO's Weed and Seed Program. Without funding for this program, the CCDO closed and on June 6, 2011, all remaining active CCDO grants were transferred to BJA.

Table 17 displays the number of days delinquent monitoring packages were submitted after the 45-day deadline. Of the 329 delinquent packages, 146 (44%) were submitted within 2 weeks after the 45-day deadline. All packages except one from OJJDP were submitted within six months of the 45-day deadline.



TALBE 17

FY 2012 range of submission (measured from 45-day timeframe) for delinquent monitoring packages, by program office

	BJA	BJS	NIJ	OJJDP	OVC	SMART	Totals
Less than 2 weeks	104	1	10	29	0	2	146
2 weeks to 1 month	74	0	4	12	1	0	91
1-3 months	65	1	4	10	1	0	81
3-6 months	1	0	0	9	0	0	10
More than 6 months	0	0	0	1	0	0	1
Total of Delinquent Packages	244	2	18	61	2	2	329

6.5 Issues for Resolution

Section Highlight

OJP grant managers identified 656 issues for resolution among the 1,214 grants monitored in FY 2012. This represents a 122% increase in total number of issues identified in FY 2011 and 140% increase in the number of grants with issues identified.

After in-depth programmatic monitoring is conducted, OJP grant managers must record issues for resolution, defined as any issues requiring corrective action on the part of the grantee, in GMS. These issues are tracked in GMS until they are resolved by the grantee. Table 18 shows the number of OJP grants with issues for resolution (each grant can have multiple issues) and their respective program offices. Grant managers identified issues for resolution for 18% of the total number of grants monitored. This represents a significant increase over FY 2011, in which only 8% of grants monitored were found to have issues for resolution. Grants without issues for resolution may indicate that a grantee is successfully administering its grants, or may indicate that

grant managers are not accurately identifying or recording issues for resolution. OJJDP found the highest percent of grants with issues identified while BJS did not record any issues for resolution for its monitored grants.

TABLE 18

FY 2012 OJP grants with issues for resolution, by program office

	BJA	BJS	NIJ	OJJDP	OVC	SMART	Totals
Number of grants monitored with issues for resolution	85	0	10	103	22	3	223
Percent of grants monitored with issues for resolution	15%	0%	8%	29%	17%	21%	18%
Total number of issues for resolution identified for monitored grants	214	0	23	332	80	7	656
Total of Grants Monitored	553	31	125	360	131	14	1,214



Figure 22 illustrates OJP program offices' issues for resolution reporting over the last three fiscal years by the total number of issues identified and the number of grants with issues for resolution against the total number of grants monitored each fiscal year.

OJP grant managers found 656 issues for resolution among 223 grants monitored in FY 2012. This represents a 122% increase in total number of issues identified in FY 2011 and 140% increase in the number of grants with issues identified. This increase could be attributed to OJP's revisions to in-depth monitoring checklists in FY 2012, which provide an enhanced framework for documenting activities and information reviewed by grant managers. The revised checklist includes detailed guidance as to what elements should be reviewed and what documentation the grantee should be able to provide to support reported activities.

Table 19 illustrates the trend in reporting of issues for resolution over the past three fiscal years by program office. OJJDP and BJA in particular have seen a significant increase in issues identified.

Issues for resolution stem from problems identified during financial, administrative, or programmatic review. Financial review requires grant managers to examine grantees' budgets, expenditures, and other financial documents. Administrative review requires grant managers to address grantees' compliance with grant terms and conditions, and reporting requirements. This includes ensuring compliance with statutory regulations and ascertaining that GMS and the grant manager's working files have complete documentation. Programmatic review consists of grant managers reviewing how grantees are implementing programs and meeting their objectives.

Table 20 below categorizes issues for resolution identified in FY 2012 under the three types of reviews. Programmatic issues accounted for 29% of all identified issues for resolution, 54% for administrative issues, and 17% for financial issues. There was a 122% increase in the number of

FIGURE 22

Issues for resolution identified versus number of grants monitored in FY 2010, 2011, and 2012

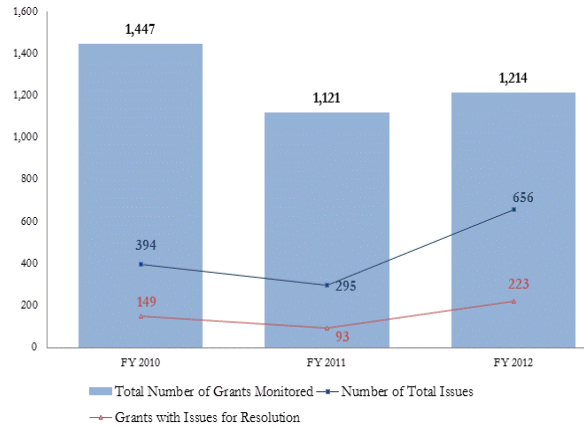


TABLE 19

Percent of grants with issues for resolution identified by OJP program offices in FY 2010, FY2011, and FY 2012

	FY 2010	FY 2011	FY 2012
BJA	6%	6%	15%
BJS	6%	0%	0%
CCDO*	24%	0%	0%
NIJ	10%	17%	8%
OJJDP	16%	9%	25%
OVC	4%	14%	17%
SMART	0%	7%	21%
Total	10%	8%	18%

*Federal funding reductions in FY 2011 included CCDO's Weed and Seed Program. Without funding for this program, the CCDO closed and on June 6, 2011, all remaining active CCDO grants were transferred to BJA.



issues found (295 issues to 656 issues). There was also a significant increase in administrative issues found; 450% increase from FY 2011 (64 issues to 355 issues).

TABLE 20

FY 2012 OJP grants with issues for resolution, by type of issue and program office

	BJA	BJS	NIJ	OJJDP	OVC	SMART	Totals
Number of grants with financial issues	74	0	9	24	3	2	112
Number of grants with administrative issues	103	0	10	206	33	3	355
Number of grants with programmatic issues	37	0	4	102	44	2	189
Total number of issues for resolution for monitored grants	214	0	23	332	80	7	656

During FY 2011 and 2012, OAAM reviewed the documented issues for resolution to better understand how they were being identified and recorded by grant managers. OAAM determined that this activity is not consistently performed by grant managers. Of the 124 grant managers who completed in-depth monitoring activities in 2012, only 37 (30%) reported issues for resolution in GMS. However, this is an improvement over FY 2011 in which only 17% of grant managers identified issues for resolution. OAAM will continue to review how grant managers are identifying and recording issues for resolution throughout FY 2013 and identify areas for training or technical assistance to OJP grant managers.

6.6 OCFO Financial Monitoring Top Findings

Over the course of FY 2012, the OCFO's Grants Financial Management Division (GFMD) conducted 49 on-site reviews of 488 grants, including 409 grants belonging to OJP and the COPS Office. OCFO made 376 recommendations and identified \$12.6 million in Questioned Costs. The OCFO categorizes the findings to inform its financial management training and OJP Financial Guide. The most frequent findings and the percentage they represent of the total are listed below:

1. Expenditures were questioned in 26 site visits (52%)
2. Budget category expenditures were not properly tracked in 88 site visits (48%)
3. Subgrantee monitoring procedures were not documented or needed improvement in 18 site visits (36%)
4. Federal Financial Reports and ARRA 1512 reports did not agree in 17 site visits (34%)
5. Budget category expenditures were not properly tracked in 15 site visits (30%)
6. Financial Status Report amounts did not reconcile to grantee's accounting system in 14 site visits (28%)
7. Excess cash-on-hand was identified in 13 site visits (24%)
8. Budget modification exceeds 10% limit or results in potential scope change in 8 site visits (16%)
9. Accounting Procedures were not documented or needed improvement in 7 site visits (14%)
10. Progress reports were found to have been delinquent in 6 site visits (12%)



7. FY 2013 Focus Areas

In an effort to build on the FY 2012 accomplishments, continuously improve monitoring standards and procedures, and respond to issues identified throughout the year, OAAM has identified several focus areas for improving FY 2013 monitoring activities.

- ◆ OAAM is assessing the use and validity of the automated risk assessment in determining whether in-depth programmatic monitoring should be conducted for particular grants. This will enable OAAM to better define these designations for the FY 2014 risk assessment process, leading to a more targeted monitoring plan.
- ◆ OAAM has begun piloting the In-Depth Monitoring Quality Review Process, which will be used to assess the adequacy and quality of OJP's in-depth monitoring activities. The quality review process will involve a thorough assessment of the entire programmatic monitoring package, including the completeness of required elements, the adequacy of the analysis presented in the report, and the evaluation of supporting documents.
- ◆ To improve the programmatic monitoring process and increase compliance with OJP monitoring policies, OAAM will use the results of the Quality Review Pilot to develop training including, how to use the OJP in-depth programmatic monitoring checklists to document findings; what constitutes sufficient and appropriate documentation; improving how monitoring reports are written; roles and responsibilities of first line supervisors; and the grant managers role in subrecipient monitoring activities.
- ◆ OAAM will continue to provide OJP program offices with quarterly monitoring performance metrics and hold periodic Monitoring Working Group meetings to continually solicit feedback from each of OJP's program offices.
- ◆ OAAM and the OCFO continue to work closely together to leverage resources and refine the risk assessment process to better identify grantees for monitoring while maximizing joint site visit opportunities.



8. Appendix

Appendix A. FY 2012 Risk Criteria Breakdown

The table below details the breakdown of risk scores applied to the landscape of OJP grants during the initial risk assessment at the beginning of FY 2012.

	Score	Number of Awards	Percent of Awards
Award Type			
Formula	0	7,527	58.3%
Discretionary	2	2,794	21.6%
Cooperative Agreement	4	1,569	12.1%
Earmark	4	1,024	7.9%
Grantee Type			
State	0	2,739	21.2%
Higher Education	2	555	4.3%
Municipality	2	7,650	59.2%
Non-Profit	2	1,317	10.2%
Tribal	4	535	4.1%
For-Profit	4	98	0.8%
Other	4	20	0.2%
Award Amount*			
<\$250,000	0	7,057	64.4%
≥\$250,000 - <\$1M	2	3,150	28.7%
≥\$1M	4	758	6.9%
State Administering Agency			
No	0	10,965	84.9%
Yes	4	1,949	15.1%
New Grantee			
No	0	11,086	85.8%
Yes	6	1,828	14.2%
New Program			
No	0	12,914	100%
Yes	4	0	-
High Risk Grantee			
No	0	12,800	99.1%
Yes	6	114	0.9%
Recovery Act Award			
No	0	9,843	76.2%
Yes	4	3,071	23.8%
JAG Disparate Jurisdiction			
No	4	12,465	96.5%
Yes	0	449	3.5%
Confidential Funds			
No	0	12,512	96.9%
Yes	6	402	3.1%



	Score	Number of Awards	Percent of Awards
Matching Funds			
No	0	12,046	93.3%
Yes	3	868	6.7%
Fiscal Integrity Review Referral			
No	0	12,914	100%
Yes	4	0	-
Award Open > 4 Years			
No	0	12,778	98.9%
Yes	4	136	1.1%
Award has Unobligated Balance 2 Years After Start Date			
No	0	12,320	95.4%
Yes	4	594	4.6%
Grant Has No Financial Clearances**			
No	0	12,914	100%
Yes	6	0	-
Number of No-cost Extensions Approved			
0	0	10,260	79.4%
1-2	2	2,438	18.9%
3+	4	216	1.7%
Number of Delinquent FFRs			
0	0	7,035	54.5%
1	3	1,977	15.3%
2+	6	3,902	30.2%
Number of Delinquent Progress Reports			
0	0	9,417	72.9%
1	3	2,823	21.9%
2+	6	674	5.2%
Active Withholding of Funds			
No	0	10,837	83.92%
Yes	4	2,077	16.08%
Program Income***			
No	0	12,755	98.8%
Yes	6	159	1.2%
Excess Cash***			
No	0	5,810	93.5%
Yes	6	401	6.5%
1512 Non-Filer (most recent reporting period)			
No	0	12,854	99.5%
Yes	6	60	0.5%



	Score	Number of Awards	Percent of Awards
Recent Programmatic Site Visit (Past 2 FY)			
No	0	11,681	90.5%
Yes	-2	1,233	9.5%
Programmatic Issue for Resolution More than 1 Year Old			
No	0	12,898	99.9%
Yes	6	16	0.1%
Recent OCFO Site Visit (Past 2 FY)			
No	0	12,516	96.9%
Yes	-2	398	3.1%
Financial Issue for Resolution More than 1 Year Old			
No	0	12,899	99.9%
Yes	6	15	0.1%
OIG Audit (Past 2 FY)			
No	0	12,877	99.7%
Yes	-1	37	0.3%

*SAAs exempted from this criteria, do not appear in totals

**Criteria does not apply in Q1

***JAG/JABG awards exempted from this criteria, do not appear in totals



Appendix B. Recovery Act Monitoring

The table below details OJP's monitoring of Recovery Act grants in FY 2012, by program office and solicitation.

	Open, active grants	Required*	Planned	Grants Monitored
BJA				
Edward Byrne Memorial Competitive Grant Program	88	9	10	12
Combating Criminal Narcotics Activity Stemming from the US Southern Border	15	2	4	4
Edward Byrne Memorial Justice Assistance Grant Program Local Solicitation	2,504	125	149	173
Rural Law Enforcement Assistance: Combating Rural Crime	187	19	15	21
Edward Byrne Memorial Justice Assistance Grant Program State Solicitation	56	6	9	13
Correctional Facilities on Tribal Lands Program	20	2	3	4
BJA Totals	2,871	164	190	227
BJS				
Tribal Crime Data Collection, Analysis, and Estimation Project	1	1	0	0**
BJS Totals	1	1	0	0
NIJ				
Evaluation of Internet Child Safety Materials Used by ICAC Task Forces in School & Community Settings	1	1	0	0**
Research and Evaluation of Recovery Act State and Local Law Enforcement Assistance	2	1	1	1
FY10 Evaluation of Recovery Act State and Local Law Enforcement Assistance Program	2	1	2	2
Office of Science and Technology Law Enforcement Technology Research and Development	17	2	6	6
NIJ Totals	22	5	9	9
OJJDP				
Internet Crimes Against Children Research Grants	2	1	0	0**



	Open, active grants	Required*	Planned	Grants Monitored
Internet Crimes Against Children Task Force Program Grants	55	6	0	5
Internet Crimes Against Children Task Force Training and Technical Assistance Grants	6	1	0	0
Local Youth Mentoring Initiative	25	3	3	3
National Youth Mentoring Initiative	3	1	0	0
Recovery Act National Internet Crimes Against Children Data System (NIDS)	1	1	0	0**
OJJDP Totals	92	13	3	8
OVC				
Edward Byrne Memorial Competitive Grant Program	10	1	0	0**
National Field Generated Training, Technical Assistance, and Demonstration Projects	12	1	1	1
Victims of Crime Act Victim Assistance Formula Grant Program	50	5	10	13
Victims of Crime Act Victim Compensation Formula Grant Program	16	2	3	3
OVC Totals	88	9	14	17
Grand Totals	3,074	192	216	261

*The required monitoring level for the number of grants is 10 percent of the number of open, active grants, or one grant (whichever is greater) each year for all program offices except BJA, for which the required monitoring level is 5 percent.

** OJP policy states that if all Recovery Act awards funded under a program were monitored previously and no issues for resolution were found, the program offices are not required to include those awards as part of their monitoring plan for the current fiscal year. In addition, under some Recovery Act programs all open grants closed prior to being able to be monitored by the end of the fiscal year.