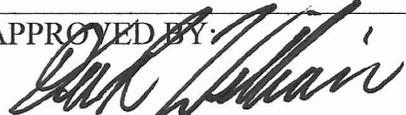


<p style="text-align: center;">STATE OF ALASKA DEPARTMENT OF CORRECTIONS</p>  <p style="text-align: center;">POLICIES & PROCEDURES</p>	SECTION: Administration		PAGE: Page 1 of 5
	CHAPTER: 300	NUMBER: 302.07	P&P TYPE: Public
	TITLE: DOC Grant Recipient Management		
	APPROVED BY:  Dean R. Williams, Commissioner		DATE: 05/24/18
ATTACHMENTS / FORMS: (None.)		AUTHORITY / REFERENCES: 22 AAC 05.155 AS 44.28.030 AS 33.05.010 31 U.S.C. §7502 AS 33.16.180 Title 2 C.F.R. §200 AS 33.30.011 AAM 35 AS 33.30.021	

DISCUSSION:

The Department of Corrections (DOC) recognizes, it has a responsibility to be accountable for money it pays for services as part of the grant process. This accountability includes making sure that: the money is being used for the authorized purposes; that the grant is being used in compliance with the federal, state or private entity program and grant requirements and federal, state and local laws and regulations; that the grantee is being fiscally responsible; and that the grantee is achieving the performance goals of the grant.

POLICY:

- I. It is the policy of the Department of Corrections (DOC) to have in place procedures for evaluating, awarding and monitoring grants of federal funds, from award to closeout.
- II. It is the policy of the Department to have in place grant management procedures that ensure the grant program is operating efficiently, its internal control program is operating successfully, and any deficiencies detected in the grant program are corrected in a timely manner.
- III. It is the policy of the Department that the assigned DOC Grant Manager shall monitor all programs, or persons, receiving re-entry program vouchers through two means: office-based monitoring and on-site monitoring.

APPLICATION:

This policy and procedure will apply to all Department employees, voucher recipients and grant managers.

DEFINITIONS:

As used in this policy, the following definitions shall apply:

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DOC Fiscal Designee:

A DOC employee designated by the Director of Administrative Services who is assigned to manage the fiscal processes and reporting for any grant (federal, state or private entity). The DOC Fiscal Designee may delegate their duties to other DOC employees when needed.

DOC Grant Manager:

A DOC employee designated by the Deputy Commissioner under which the grant has been awarded, who is assigned to manage any grant (federal, state or private entity), and report to the Department and grantor progress and / or outcomes. The DOC Grant Manager may delegate their duties to other DOC employees when needed.

Re-Entry Program Vouchers:

An authorization or certificate given to a reentrant to exchange for housing credits, program services or other identified needs for successful re-entry to the community.

PROCEDURES:

I. General Procedures:

A. Duties:

1. The DOC Grant Manager is responsible for monitoring programs that receive re-entry vouchers, record keeping and internal operation and accounting control systems. Such grant management ensures that the grant program is operating efficiently, its internal control program is operating successfully, and any deficiencies detected in the grant program are corrected in a timely manner.
2. More specific duties may include, but are not limited to, the following:
 - a. Day-to-day oversight of programs that receive re-entry vouchers;
 - b. Reconciliation and approval of programmatic expenditures;
 - c. Review of reimbursement requests;
 - d. Providing general support and assistance relating to project implementation;
 - e. Authorizing reimbursement for expenditures;
 - f. Quarterly audits of Narrative and Financial Progress Reports and Request for Reimbursement reports (along with supporting documentation) for compliance;
 - g. Forwarding said reports for payment;
 - h. Working as liaison with the DOC Fiscal Designee and DOC accounting personnel to processes reimbursements and issue warrants for payment to the programs that receive re-entry vouchers; and
 - i. Maintaining a working file that may include “in-progress” project correspondence and actions, quarterly reports that require additional supporting documentation, copies of e-mails and a telephone communication log, additional contact information, and incidental and anecdotal project information, etc. relevant to the project and award.

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B. Point of Contact:

The DOC Grant Manager will act as the point of contact for all programs that receive re-entry vouchers. Any questions, concerns or comments that the programs have for the Department shall be directed to the DOC Grant Manager.

II. Office-Based Monitoring:

A. General Procedures:

1. For each active program receiving re-entry vouchers, the DOC Grant Manager conducts office-based monitoring review at least once per fiscal year. Office-based monitoring will occur before on-site visits are scheduled.
2. The DOC Grant Manager shall perform a comprehensive review of the programs' files to ensure that all documentation is complete and current; ensuring to note any file irregularities or problems the program receiving re-entry vouchers is experiencing and ensuring that any apparent problems are addressed promptly:
 - a. The DOC Grant Manager then contacts the program in writing to confirm these findings and reconcile discrepancies; and
 - b. In unison the DOC Grant Manager and the program agree to a brief written plan and timeline to resolve any problems. If these issues cannot be resolved within 30 days, a Corrective Action Plan (CAP) must be submitted with a clear course of action for resolution of these issues.

B. File Review:

1. The DOC Grant Manager reviews the program receiving re-entry vouchers files to perform fiscal, compliance and programmatic monitoring.
2. The DOC Grant Manager verifies compliance with the certifications and assurances listed in the Memorandum of Agreement (MOA).
3. This review assesses the status of quarterly Narrative Progress Reports and Financial Progress Reports, evaluation of progress implementation and timelines.

C. Fiscal and Compliance Monitoring:

The following are required documents in the program receiving re-entry vouchers file:

1. Complete application from the reentrant with original signatures, date-stamped when received;
2. Current Quarterly Narrative Progress Reports with supporting documentation;

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3. Current Quarterly Financial Progress Reports with supporting documentation;
4. Paid Requests for Reimbursement with original signatures, filed and attached to corresponding quarterly Financial Progress Reports;
5. Paper and / or electronic copies of any substantial deliverables (e.g. Power Point presentation, training course, program plans, brochures, outreach materials, etc.);
6. Correspondence, especially any previous monitoring documentation, if applicable; and
7. All Fiscal and Compliance Monitoring will conform to the Alaska Administrative Manual (AAM) Chapter 35 – Expenditures.

D. Program Monitoring:

The DOC Grant Manager reviews the program receiving re-entry vouchers file to determine the program’s achievements and potential problems faced in implementing the project. The project narrative is examined for the following information:

1. Goals, objectives, and implementation steps planned vs. actual;
2. Requirements and activities;
3. Timelines planned vs. actual;
4. Evaluation plans; and
5. Performance measures.

III. On-Site Monitoring:

A. General Procedures:

1. DOC will conduct on-site monitoring visits once per fiscal year.
2. 30 days in advance of the proposed visit, the DOC Grant Manager contacts the program receiving re-entry vouchers to schedule the upcoming on-site visit, briefing them on what activities and discussions will take place.
3. The program receiving re-entry vouchers will be provided with a read-ahead packet, including a cover letter, draft meeting agenda and proposed list of questions, to ensure on-site time is focused on discussing issues instead of locating documentation.
4. The grant recipient should expect DOC to spend a minimum of one (1) business day on-site.

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B. Program Monitoring:

A major portion of the meeting involves discussions about project implementation such as milestones, project operations, performance measures and evaluation, etc. Delinquent quarterly Narrative Progress Reports must be submitted **prior** to the on-site visit.

C. Exit Interviews:

1. At the end of the on-site visit, DOC staff conduct an exit interview to discuss findings from the meetings and to clarify any corrective action items.
2. DOC staff also ask for feedback to identify areas of self-improvement by which it can better support or, assist, project success.
3. If any outstanding financial, compliance and programmatic issues are identified, program receiving re-entry vouchers is required to submit a CAP within 30 days of receipt of the report, identifying what steps the program receiving re-entry vouchers is taking to resolve them. The DOC Grant Manager will be responsible for regular monitoring of the CAP progress.

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