

Evidence-Based Programs Technical Assistance



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Agenda

- Welcome & Introductions
- CTAS / OCJP Program and Partnership
- Readiness Assessment Review
- Outputs vs. Outcomes
- Grants Management (Budget, Purchasing, Contracts, and Invoicing)
- When to Ask CTAS or OCJP
- Sustainability



Readiness Assessment Review



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Readiness Assessment Review

Evaluates whether an agency is prepared to implement and manage an Evidence-Based Programming (EBP) grant. It ensures compliance with state and federal requirements, assesses operational capacity, and identifies potential risks or gaps.

1. **Eligibility & Compliance** (certified facility, compliance with reporting)
2. **Governance & Fiscal Readiness** (CLB approval, fiscal capacity, and funds management)
3. **Current Programming & Sustainability** (existing programs, funding sources and sustainability)
4. **Operation Planning** (hiring, job descriptions, procurement, sub-contracting)
5. **Submission Preparedness** (confirms readiness)



Outputs vs. Outcomes



Outputs vs. Outcomes

Section D.1. The following performance measures will be reported on an annual basis

- Number of evidence-based or vocational programs being provided
- Average (annually) number of inmates currently receiving evidence-based programming
- Average (annually) number of inmates who complete evidence-based program
- Average (annually) number of inmates unable to complete the evidence-based program (and reason)
- Average (annually) number of inmates that benefited from EBP grant funds
- Number of community partnerships (nonprofits, faith-based organizations, local colleges/university etc.) that facilitate EBP or vocational programming



Outputs – What did we do?

- Definition: Outputs are the direct, measurable products of program activities.
- They show what was done or how much was delivered, but not necessarily the impact.

Outcomes – What difference did it make?

- Definition: Outcomes are the changes or benefits that result from the program.
- They reflect the impact on individuals, systems, or communities.



Outputs vs. Outcomes

What did we do?

- Number of evidence-based programs offered
- Number of inmates enrolled in a program
- Number of community partnerships formed
- Number of inmates who received grant-funded services

What difference did it make?

- Increase in program completion rates
- Reduction in recidivism among participants
- Improved employment rates post-release
- Enhanced collaboration with community organizations



Summary Table

Category	Outputs	Outcomes
Focus	What is delivered or measured	What changes or benefits occur
Timeframe	Immediate or short-term	Medium to long-term
Measurement	Quantitative (data, counts, rates)	Quantitative and qualitative (behavior change, success stories)
Example	50 inmates enrolled in programs	70% of participants found employment post releases



Why This Matters

- Outputs show program activity and reach
- Outcomes show program impact and value
- Together, they provide a full picture program and help justify continued funding and expansion - (Sustainability)



Grants Management



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Agenda

- Grants Management Overview
- Grants Policies
- Grants Oversight
- Grants Administration



What is grants management?

Grant Management Process



What is grants management?

Managing a grant typically involves:

- Adhering to the terms & conditions of the grant
- Fulfilling:
 - Specific compliance requirements
 - Project/program reporting requirements
 - Financial reporting requirements
- Accounting for grant revenues and expenditures
- Following specific closeout procedures (as outlined by the grantor)
- In some cases, monitoring other parties that receive grant resources



Why do we need grants management?

- **Failure to meet the specialized requirements of a grant (or grants) can result in negative consequences:**
 - Could lose or be forced to return some or all of the resources awarded
 - May limit future grant opportunities with your grantor
 - In the most severe cases, could face criminal prosecution
- **Failure to properly manage the pre-award phase can result in other unintended consequences for the grantee (government):**
 - Future financial commitment
 - Cash flow or budgetary issues



Why do we fail to properly manage grants?

Normally, a failure to meet all grant requirements is not intentional. Instead, the problem is often caused because all appropriate parties within the government are not aware of all the requirements or are not aware of the requirements at the appropriate time (GFOA).



Best Practices

Government Finance Officers Association (GFOA)



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New Grant Considerations

- Is the funding opportunity a fit for our community needs/goals?
- What level of local funding will be required? MOE considerations?
- Can we afford both the current & long-term costs of the project/program?
- Can we staff or administer the program with current employees, or will we need to hire?
- Do we have systems in place to properly maintain/operate the assets purchased or constructed?
- Who will be responsible for reporting?
- Do you have a grants committee?



GFOA Grants Policy Recommendations

- Evaluate Long-Term Impact
- Clarify Matching Requirements
- Formalize Grant Acceptance
- Monitor Performance & Compliance
- Plan for Post-Grant Sustainability
- Maintain Audit Readiness



Grant Oversight Committee

In addition to the establishment of a grants policy, GFOA recommends that governments create a grant oversight committee.

- An oversight committee should:
 - Analyze grants before they are applied for, accepted, renewed, or continued
 - Determine whether application, acceptance, renewal, or continuation are appropriate
 - Oversee adherence to the grants policy adopted by the government



Grant Oversight

- A formal process/committee is a best practice
- If a county does not have a committee, all grants should still come before one central office/team or staff member (or the legislative body).
- Individual departments should not be applying for and administering grants without the knowledge of the finance office.
- Reports and supporting documentation for all grants should also be stored and maintained in a central location.



Grants Administration

Processes for managing grants throughout the grant lifecycle



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Grants Administration

To be successful in grants management, governments must establish processes for the administration of grants that promote awareness of grant requirements throughout the life of each grant.

- Operational Management
- Financial Management
- Internal Controls
- Communication
- Reporting



Operational Management

- Monitor terms and conditions of the grant
- Establish projects plans and timelines
- Assign responsible parties for implementation of plan
- Provide necessary training
- Address personnel or other specific issues related to grant compliance requirements
- Maintain proper systems to support grants



Financial Management



Budget

Requires CLB Approval



Cash Flow

Timing of reimbursements



Reporting Requirements

What is needed from Finance?

Internal Controls

- Document grant procedures
- Maintain internal controls over accounting, financial reporting, and program administration
- Maintain internal controls to identify and adhere to Federal and State compliance requirements
- Consider the level of program risk (e.g., high, medium, low) when establishing internal controls



Communication

WHO?



WHAT?



WHEN?



Reporting

- Maintain a comprehensive list of reporting requirements and a reminder system for meeting the reporting deadlines
- Develop a methodology for the preparation and approval process of specialized reports
- Develop a process to aggregate the information needed for the schedule of expenditures of federal awards, if applicable
- Understand audit requirements related to grants



OCJP Reporting

- Monthly(recommended) or quarterly invoice reporting
 - Within 30 days after quarter
- Evidence-based report
 - July 31st
- Equipment Summary
 - July 31st
- Quarterly program income report
 - Within 15 days after quarter
- Audit report
 - ?



Purchasing



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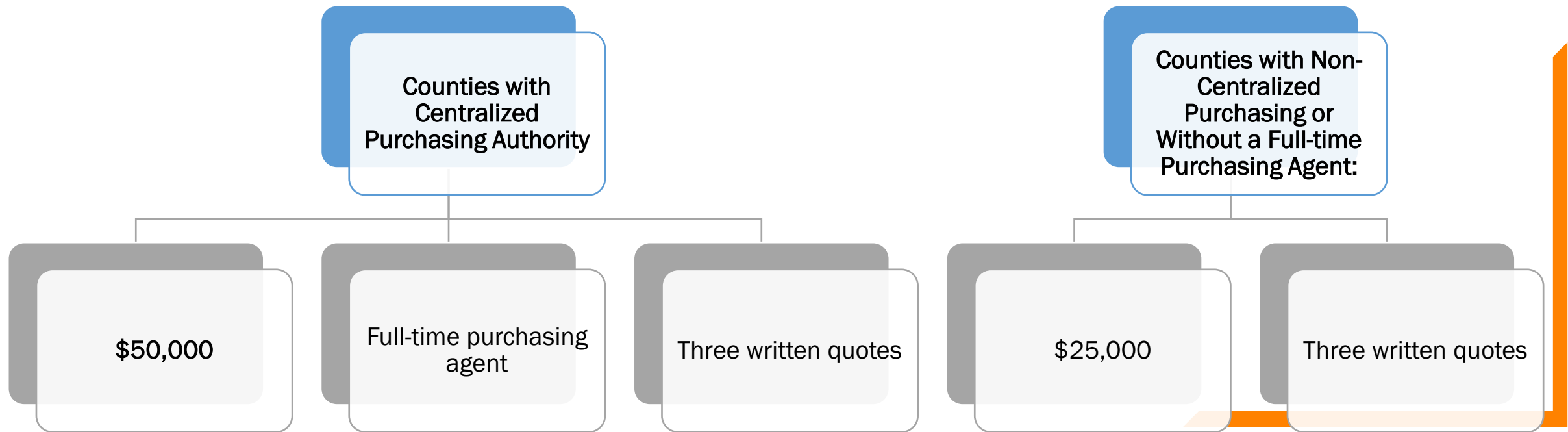
Purchasing for Grants

- Is it different than normal purchasing?
- Would following my local policies and procedures work?
- OCJP requires competitive basis
 - What does that mean?
- Noncompetitive purchases requires documentation
- Equipment over \$10K require prior OCJP approval



Formal Bid Thresholds in Counties

T.C.A. § 12-3-1212



Purchasing Methods

- Informal Quotations (informal quotes)
- Competitive Sealed Bids (ITB/IFBs)
- Competitive Sealed Proposals (RFPs)
- Request for Qualifications (RFQs)



Purchasing Process

Need

Requisition

Purchase Order

Receiving Report



Contract Management

- Assign Clear Roles and Responsibilities
- Who Reviews a Contract?
- Who Signs a Contract?
- Standardize Contract Terms
- Conduct Review of Deliverables & Terms



Summary

- Communication is key to efficient and effective grants managements
- Planning needs to begin before the grant application process
 - Matching funds or other own-source funding required
 - Cash flow funding
 - Long-term cost/benefit analysis



CTAS Resources

CTAS Online Course (CCFO/CMFO CPE – 2 hrs.):
Subrecipient Monitoring Requirements for Federal Grant Awards

<https://kate.tennessee.edu/>

GFOA Grants Management Best Practices

<https://www.gfoa.org/best-practices/accounting-and-financial-reporting>

Uniform Guidance

<https://www.ecfr.gov/current/title-2/subtitle-A/chapter-II/part-200?toc=1>



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Sustainability



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Sustainability



LOCAL SOURCES



STATE SOURCES



FEDERAL SOURCES

When to Ask CTAS or OCJP



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