



JRI Phase II Planning & Implementation Checklist

States and Local Jurisdictions

Please attach all relevant materials or documents that are referenced in this checklist, such as: the site's implementation plan; a description of the interventions, policies, and/or strategies the site hopes to implement; the site's reinvestment strategy, if not included in its implementation plan; written support of all members of the Task Force / Working Group and other relevant stakeholders for the reinvestment strategy; a detailed description of the site's proposed funding request; and documentation of the site's plans for measuring and monitoring performance.

SITE:

TA PROVIDER:

1. The site has convened (and continues to convene) a JRI Task Force or Working Group.



Completed



In Progress



No Progress

The JRI Task Force / Working Group has:

- ✓ Identified a **leader** for the initiative;
- ✓ Started or continued to **hold meetings**;
- ✓ **Clearly defined its membership**, issued **invitations to additional stakeholders** whose expertise would benefit the initiative, and clarified **member roles and responsibilities** through a team charter or work plan;
- ✓ Set a **meeting schedule** that allows all members to attend;
- ✓ Articulated a **mission statement and a common set of goals**; and
- ✓ Established **by-laws** (if needed); and
- ✓ Secured adequate **staffing and resources** to support the initiative.

Please describe progress to date:

2. The proposed policy and/or program options identified in Phase I, or revisions made to those original options, are appropriate and feasible in Phase II.



Completed



In Progress



No Progress

TA providers have met with members of the Task Force / Working Group to verify that:

- ✓ The proposed policy or program changes are **directly linked to the criminal justice population drivers** identified during JRI Phase I data analysis and are **directly linked to the site's justice reinvestment goals**;

- ✓ The proposed policy and program changes still represent a significant **change from current practice**; and
- ✓ The calculations and assumptions used to project **costs and potential savings** are valid.

Please describe progress to date:

3. The JRI Task Force / Working Group has identified and agreed on a reinvestment strategy.

- Completed**

 In Progress

 No Progress

The JRI Task Force / Working Group has:

- ✓ Developed a feasible **process to track costs of and savings resulting from** implementation of policy or program changes (tracking capability must be demonstrated within first three months for non-capital projects; within 12 months for projects involving capital changes);
- ✓ Plans to develop or expand **specific programs / strategies** by reinvesting or reallocating dollars saved through justice reinvestment work; and
- ✓ Secured the **written support** of all members of the Task Force / Working Group members and other relevant stakeholders for the reinvestment strategy, evidenced by voting records or a signed letter of support.

Please describe progress to date:

4. The site has developed an implementation plan for JRI Phase II.

- Completed**

 In Progress

 No Progress

The JRI Task Force / Working Group has created an implementation plan that:

- ✓ Identifies the **specific activities and sub-tasks** that need to be completed in order to implement the larger policy or program options;
- ✓ Sets these activities and tasks to a **timeline** complete with milestones and deliverables;
- ✓ Details the costs associated with new JRI policy or program changes, including start-up costs and operational (ongoing) costs, and specific metrics that will be used to track the outcome of these changes, in a **preliminary budget proposal**;
- ✓ Articulates **how new policies and program changes will be sustained** after the completion of JRI Phase II; and
- ✓ Incorporates the JRI Task Force / Working Group's **reinvestment strategy**.

Please describe progress to date:

Upon completion of steps 1-4, the site will be ready to submit a detailed Phase II funding request to BJA, outlining milestones, deliverables, and projected savings (please remember to attach supporting documentation to this checklist). TA providers should also plan to work with sites on developing performance measures as part of the process of setting up site subgrants. All progress following completion of these activities will be monitored through TA monthly reports. Guidance specific to subcontracts for JRI cash grants is provided in the addendum to this checklist.



JRI Phase II Planning & Implementation Checklist Addendum for Subcontracts States and Local Jurisdictions

Goals

To provide guidance to JRI state and local TA providers regarding their recommendations to BJA on cash awards to Phase II sites and the financial, contractual, and reporting requirements associated with those awards.

Three Prerequisites

The TA provider must determine and provide evidence to BJA that the following conditions have been met:

(1) The site's proposal is well justified with regard to the data and population analyses of leading drivers of criminal justice costs completed in Phase I of JR. In addition, the proposal must be supported by evaluative research (e.g., evidence-based).

(2) The site's proposal is well justified with regard to the estimated costs of current practice(s) and the projected savings associated with the outcomes anticipated from the proposed strategy(ies).

The above two prerequisites will be documented by the TA provider in support of a pass through funding request submitted to BJA. Further, Phase II seed funding should not be used for reinvestment activities, but used rather to kick-start or initiate Phase I policy recommendations into practice.

(3) The site has mechanisms in place for tracking actual costs, measurable outcomes, and achieved savings in accordance with negotiated milestones and an associated timeline (please see the section below, "Tracking" for examples of potential costs, outcomes, and savings to track). The tracking mechanisms must be specified in the sub-contract issued to initiate pass through funds and submitted to BJA for approval.

Making Subawards:

TA providers should refer to the OJP Financial Guide (2009 is current version)

http://www.ojp.usdoj.gov/financialguide/09_financial_guide.pdf

Note: There will soon be a revised (newer) version of the OJP Financial Guide released to the public.

Subawards should be issued as subcontracts (fixed price (milestone) or cost-reimbursable) and are subject to the same restrictions and requirements, including any Special Conditions requirements, as the TA provider's cooperative agreement with BJA. As such, procurement, reporting, and all other conditions in the TA provider's contract are applicable to and must be included in all JRI subcontracts. The TA provider must ensure that the local/state jurisdiction does not have any regulations that prohibit acceptance of dollars from a nonprofit organization.

All subcontracts must be approved by BJA prior to executing the award. The subcontract must, at a minimum, include:

- Activities to be performed;
- Time schedule and specific milestones and deliverables;
- Project policies;
- Flowthrough requirements that are applicable to the subrecipient;
- Dollar limitation of the agreement;
- Cost principles to be used in determining allowable costs; and
- Other policies and procedures to be followed.

The subcontract period must fall within the TA provider's JRI grant award period.

The JRI TA provider is responsible for monitoring the site's subcontract and associated activities and ensuring that all fiscal and programmatic responsibilities are fulfilled.

Budget:

The budget must be presented to BJA in OJP's Budget Detail Worksheet
http://www.ojp.usdoj.gov/funding/forms/budget_detail.pdf

Allowable and Disallowable Costs:

Allowable Costs may Include:

- Conference or meeting arrangements;
- Publicity;
- Registration;
- Salaries of personnel;
- Food and beverage (adhering to OJP conditions);
- Rental of staff offices;
- Conference space;
- Recording or translation services;
- Postage;
- Printing/duplication;
- Production;
- Publication;
- Telephone charges;
- Other allowable costs (software development, depreciation, postemployment benefits, technology awards, contingency fee contracts for recovery of improper payments, etc.);
- Travel expenses (this includes transportation and subsistence for speakers or participants); and
- Lodging.

Additional costs may be allowable, contingent upon OJP's Financial Guide, or upon approval directly from BJA.

Costs that Require Prior Approval:

- Automatic data processing equipment and software;
- Criminal justice information and communication systems;
- Equipment and other capital expenditures;
- Preagreement costs;
- Proposal costs;
- Consultant rates;
- Interest expense;
- Foreign travel; and
- Indirect cost.

Unallowable Costs:

- Land acquisition;
- Compensation of federal employees;
- Travel of federal employees;
- Bonuses or commissions;
- Military-type equipment;
- Lobbying;
- Fundraising;
- Corporate formation;
- State and local sales taxes;
- Other unallowable costs (entertainment, sporting events, fines and penalties, visa fees, passport charges, tips, bar/alcoholic beverages, lodging costs in excess of Federal per diem, membership to organizations whose primary activity is lobbying, and premium pay, etc.); and
- Costs incurred outside the project period.

Reporting:

At a minimum, reporting will be required on a quarterly basis, and may occur more frequently at the TA provider's discretion. All expenditures must be reported using the Federal Financial Report (FFR-425) Form no later than 30 days after the end of each calendar quarter. Reporting must begin as soon as funds are dispersed and will conclude in the period that is no less than six-months after subawardee has implemented the funded initiative. The reporting schedule is as follows:

Reporting Period:

Due not later than:

First Quarter (January 1 – March 31)	May 15
Second Quarter (April 1 – June 30)	August 14
Third Quarter (July 1 – September 30)	November 14
Fourth Quarter (October 1 – December 31)	February 14

Tracking:

Ideally the measures tracked will be confined to those associated with the specific population/initiative proposed by the site; in some cases, they may pertain to agency-wide or even cross-agency costs. The objectives of tracking JRI pass through funds are three-fold: (1) to determine how BJA funds were spent; (2) to assess the impact that the investment had on operations, populations, and staffing; and (3) to demonstrate what, if any, savings were generated from the investment. Examples of the tracking mechanisms for these objectives are provided in the chart below. The TA provider must determine with the site exactly what indicators will be tracked and over what time period. The measures and associated timeframes must be explicitly provided and agreed to in the subcontract for BJA to approve.

Objective	Tracking Mechanism
Determine how JRI Phase II funds are spent	<ul style="list-style-type: none"> • Labor costs (i.e., staff time/salaries/headcount/overtime) <ul style="list-style-type: none"> - By agency and staff position • Maintenance and operational costs • Training costs • Additional expenses
Determine impact that JRI Phase II funds have on operations, populations and staffing	Change in outcomes of population targeted through JRI policy change in Phase II (these may be system-wide or specific to the populations specifically targeted by the proposed initiative(s)) <ul style="list-style-type: none"> • Number of arrests • Bed day consumption • Length of stay in criminal justice system • Number of bookings • Number/rate of repeat bookings • Failures to appear • Program completion • Number/rate of probation/parole revocations • Number/rate of court continuances • Time from arrest to case disposition • Recidivism rate
	Change in staffing, by agency <ul style="list-style-type: none"> • Change in personnel costs • Change in overtime costs
	Change in operations, by agency/division <ul style="list-style-type: none"> • Change in operational costs • Change in maintenance costs
Determine if and how savings were generated after investment of JRI Phase II funds	<ul style="list-style-type: none"> • Determine reduction in marginal costs (i.e., cost of each person to agencies involved in the system) • Determine reduction in costs to agency budgets (i.e., reduction in staffing or operations costs stemming from change in population targeted by JRI)