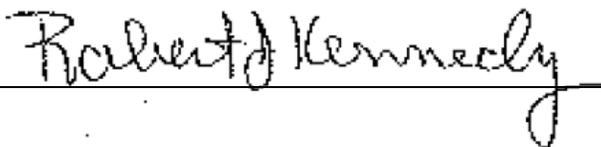


 Corrections and Community Supervision DIRECTIVE	TITLE Grant Processing/Monitoring		NO. 2782
			DATE 10/16/2015
SUPERSEDES DIR #2782 Dtd. 12/10/2014	DISTRIBUTION A	PAGES PAGE 1 OF 3	DATE LAST REVISED
REFERENCES (Include but are not limited to)	APPROVING AUTHORITY 		

I. **DESCRIPTION:** This directive sets forth Departmental policy regarding the investigation of funding sources, the application for funding endorsements of proposals by other organizations, activity reporting, fiscal reporting, monitoring and evaluation, and coordination with other Departmental activities. It is applicable regardless of the source of external funding (e.g., Justice, National Institute on Drug Abuse, National Institute of Corrections, Health and Human Services, Education, Labor, private foundations, etc.).

II. **RESPONSIBILITIES**

A. Division of Program Planning, Research and Evaluation (PPR&E)

1. Coordinate the Department's Grant Funding activities;
2. Investigate funding sources and advise of applicability to Departmental operations;
3. Coordinate all external (non-state) funding efforts including liaison with the New York State Federal Affairs Office and Congressional agencies;
4. Coordinate the preparation and submission of applications and pre-applications to funding agencies;
5. Maintain other-than-fiscal liaison with external funding sources;
6. Monitor project activities to include review of scheduled periodic reports;
7. Evaluate projects to assess their accomplishments and impact on Departmental operations;
8. Represent the Department in meetings with external organizations relative to grant and funding matters, as directed; and
9. Coordinate the Department's response to requests for endorsement of application being prepared by other agencies. Advise requesting agencies that a minimum of two weeks notice for review and processing is required. If the award is granted, a Memorandum of Understanding (MOU) may be required between the Department and the outside organization. All Department letters of endorsement are to be signed by the Commissioner.

B. Division of Budget and Finance (B&F)

1. Assist in the development of the budget;
2. Monitor the expenditures;
3. Maintain accurate and up-to-date file of expenditures by Central Office and facilities;

4. Submit fiscal reports;
5. Maintain liaison with grantors on fiscal matters; and
6. Verify accuracy of grant budget and availability of any State match.

C. Division of Personnel

1. Assist in the development of proposed position descriptions, titles, and grades; and
2. Coordinate establishment of positions when grant request is approved.

D. Originator of Application

1. Coordinate all grant investigative or pre-application activities with PPR&E to ensure coordination with other Department programmatic and funding initiatives;
2. Clear the request concept with the appropriate Deputy Commissioner and the Commissioner through the Associate Commissioner/Executive Assistant;
3. Develop application in conjunction with PPR&E and B&F;
4. Administer the program funded by the grant; and
5. Submit scheduled periodic reports through PPR&E.

E. Correctional Facilities

1. Maintain liaison with Central Office Division of Budget and Finance by providing documentation of all expenditures;
2. Ensure all purchases are within the grant guidelines; and
3. Coordinate with Grant Director the hiring of personnel within guidelines of the grant.

III. APPLYING FOR GRANT

A. PPR&E shall:

1. Coordinate the development of the grant with other existing and planned grants and ensure the grant's compliance with the Department's grant funding guidelines;
2. Develop the narrative of the application (including as part of the application, a project evaluation design that specifies the data collection and analysis processes) in concert with Project Originator;
3. Coordinate with the Budget staff and Project Originator in the formulation of the project budget. Prior to submission obtain fiscal approval from Director of Budget and Finance;
4. Forward the completed application to the involved Deputy Commissioner and the Associate Commissioner/Executive Assistant for review;
5. Submit the finalized application to the appropriate executive for signature through the Associate Commissioner/Executive Assistant; and
6. Provide supplemental information requested by funding agencies in cooperation with the Project Originator.

IV. PROGRAM MONITORING AND EVALUATION: Evaluations provide the information upon which decisions to request renewals and extensions are made. Evaluations are utilized by Department Executive Staff, grantors, Division of Budget, and legislative groups in determining the impact of the grant.

In concert with operations staff, the Division of Program Planning, Research and Evaluation (PPR&E) shall develop and implement a reporting system and evaluation instruments, such as a data collection system, to support monitoring and evaluation activities.

A. Monitoring: To monitor the program, PPR&E shall:

1. Implement monitoring plan;
2. Monitor grant operation using Fiscal Status Reports and Program Status Reports;
3. Review Quarterly Status Reports as received from Project Directors to ensure compliance with the goals and objectives of the grant and the Department's policies and procedures;
4. Assist project staff in the identification of implementation problems and the application of problem solving techniques to their resolution;
5. Recommend modification of projects, where necessary, to facilitate attainment of goals and objectives and the Department's policies and procedures; and
6. Transmit status reports to grantors and other relevant units.

B. Evaluation: To evaluate the program PPR&E shall:

1. Implement evaluation plan;
2. Review and analyze data collected in support of the evaluation task; and
3. Prepare evaluation reports, as required, to assess achievement of goals and objectives and impact on Departmental operations and to recommend continuation, modification, or termination.