

Common OCJP Monitoring Issues

{ and how to avoid them....

⌘ Chapter II F. OCJP Notifications

⌘ **Subrecipients must provide written notification to OCJP within ten (10) days from the date of occurrence of any of the following:**

1. Any change of address for Authorized Official, Project Director, or Financial Director for the grant-funded project.
2. Any lawsuit filed against an OCJP funded project or program. (Note: Notification of EEOC claims or lawsuits claiming discrimination must follow the procedure outlined in Chapter XXII: Civil Rights.)
3. **Any cessation or interruption of implementation of project activities arising from litigation, loss of staff, or programmatic restructuring**

Notification

(Staff, Board Chair, Civil Rights, Lawsuit)

4. Change in project site or location
5. Change in or temporary absence of the Project Director or Financial Director
6. Change in Authorized Official.
7. Change in the name of the person responsible for reporting civil rights findings of discrimination
8. Addition of equipment and/or Sensitive Minor Equipment to project budget not previously identified
(Note: Sensitive Minor Equipment requires prior approval from OCJP, see Chapter 14 and Chapter 15)

Notification (Staff, Authorized Official, Civil Rights, Lawsuit) Cont'd.

9. Change in scope of programmatic activities or purpose of project

10. Change in e-mail address of Project Director, Financial Director, Authorized Official or any personnel funded by this grant.

11. Change in grant funded personnel positions. Temporary staff changes should also be reported.

12. Documentation of current registration in the US Federal Governments System for Award Management (SAM) and a valid DUNs number.

Notification (Staff, Board Chair, Civil Rights, Lawsuit)

Cont'd.

13. Vacancies in all grant funded positions MUST be reported in writing (e- mail, fax, or mail) to OCJP within 10 days of the vacancy.... (review manual for full reqmts.)

Once the vacant position(s) is filled the subrecipient agency MUST notify OCJP in writing within 10 days of the following information as it pertains to the new employee(s):

Position Title

Name of Employee

Date Hired

Salary

Percent of time allotted to the grant funded project

Job Description

Notification

(Staff, Board Chair, Civil Rights, Lawsuit)

Cont'd.

14. Receipt of any additional Federal Grant funds to be used for a currently funded OCJP program.

15. Any change in the subrecipient's banking information that is being used for direct deposit payment of OCJP grant funds must be reported. The subrecipient must submit a new Automated Clearing House (ACH) form to OCJP program manager. See Appendix G ACH Form.

16. In the event of a formal allegation of civil rights discrimination, including those related to employment, OCJP subrecipients must immediately notify the OCJP Title VI Coordinator by completing the Civil Rights Complaint Notification form (*see* Appendix P) within forty-five days. Subrecipients must report, in writing, the status of any on-going investigations to OCJP. A subrecipient may request exemption or modification of this requirement by submitting a written request to the OCJP Title VI Coordinator.

Notification

(Staff, Board Chair, Civil Rights, Lawsuit)

Cont'd.

17. In the event a federal or state court or a federal or state administrative agency makes an adverse finding of discrimination against a subrecipient agency, after a due-process hearing, on the basis of race, color, national origin, religion, age, sex, or disability the subrecipient agency must send a copy of the finding to OCJP within forty-five days.

Notification

(Staff, Board Chair, Civil Rights, Lawsuit)

Cont'd.

Chapter VI

- Personnel File Requirements: Agencies are required to maintain personnel files for all staff employed by grant monies or volunteers providing direct services to clients. These records should minimally contain the following information:
- a. Documentation of verified character/employment references
 - b. An agency application
 - c. A signed release of information granting the organization permission to obtain a background check and to conduct reference checks
 - d. Job description
 - e. Documentation of training/certification received such as the topic, presenter, length of training, dates.
 - f. Documentation of minimum qualifications
 - g. Documentation of background checks according to agency policy.

Personnel/Volunteer Records

& OCJP Admin. Manual Appendix M:
Nonprofit Organizations and Governing
Board Responsibilities

<http://www.tn.gov/finance/adm/ocjp/documents/Appendix%20M%20%20Nonprofit%20Organizations%20and%20Board%20Responsibilities.pdf>

Board Membership

& Family Violence Shelter Standards

∞ (2) Governing Boards

(a) All agencies must have a governing board which meets regularly with staff.

(b) All shelter programs which are incorporated in umbrella agencies must have a separate advisory body in addition to the governing board.

(c) A designated member of the advisory body must serve on the governing boards.

Board Membership cont'd.

(d) Membership on the governing board or the advisory body, in the case of a shelter program incorporated into an umbrella agency, must consist of individuals who reside in the community served by the shelter program, who have an understanding of the problem of family violence, who have an interest in the prevention of family violence and who have an interest in the development and provision of services to victims of family violence.

Board Membership

(e) Membership of the governing or advisory body should be broad based, must reflect the racial and ethnic composition of the community served and should include representative victims of family violence.

(f) Women should hold a significant proportion of key decision-making positions on the governing board or advisory body.

(g) Board members must not be related by blood or marriage to other board members or staff, and must use good judgment to avoid even the appearance of a conflict of interest.

Board Membership

⌘ Additional Resources:

⌘ TN SOS – What Every Board Member and Officer Should Know

<http://www.tn.gov/attorneygeneral/nonprofit/nonprofitguidebook.pdf>

⌘ Center for Nonprofit Management – Resources

<http://www.cnm.org/Resources/Links>

Board Membership

Chapter XIV J. Prior Approval

Certain budget items **require prior written approval from OCJP before** adjusting the budget line-item amount(s). OCJP will review the requested changes and notify the subrecipient once a determination has been made. The following budget items must be pre-approved prior to being implemented by the subrecipient:

- 1. Salary adjustments – including grant funded staff percentages and salary changes**
- 2. Overtime**
- 3. Staffing Changes – if a position is added or deleted from the budget**
4. Capital Purchases
5. Depreciation – must include a depreciation schedule
6. Sensitive Minor Equipment – see Chapter X - Property and Equipment of the OCJP Administrative Manual for further details
7. Furniture
8. Clothing and/or Uniforms (Exception: Emergency clothing for victims/clients does not require prior approval.)
9. Meeting room/audio visual services

Prior Approval (purchase and staffing)

Family Violence Shelter Standards

0620-3-6-.07 – Program Administration

Each program must have **written rules, regulations and statement of rights** which are given to shelter residents and made available to non-residents as appropriate as part of the intake process. These should include:

- (a) an explanation of services available;
- (b) house rules, as appropriate;
- (c) confidentiality;
- (d) reasons and process for termination from program;
- (e) program length of stay, availability of extension, and the process for re-entry to program;
- (f) policy and procedures for child abuse reporting; and adult abuse reporting;
- (g) grievance procedures.

Shelter Rules, Voluntary Services, Trauma Informed Care

& Family Violence Prevention & Services Act

(Appendix A of the OCJP Administrative Manual FVPSA chapter)

Page 100 - (2) VOLUNTARILY ACCEPTED SERVICES.—Receipt of supportive services under this title shall be voluntary. No condition may be applied for the receipt of emergency shelter as described in subsection (b)(1)(A).

Shelter Rules, Voluntary Services,
Trauma Informed Care Cont'd.

& Trauma Informed Care

⌘ Tennessee Trauma Informed Policy for Domestic & Sexual Violence Programs

- ⌘ Trauma-informed care views service provision through a lens of trauma. It involves having a basic understanding of trauma and how trauma impacts survivors and designing services to acknowledge the impact of violence and trauma on survivor's lives and give survivors tools to address symptoms and heal from trauma. A trauma-informed approach is sensitive and respectful: advocates seek to respond to traumatized individuals with supportive intent and consciously avoid re-traumatization.

Shelter Rules, Voluntary Services,
Trauma Informed Care Cont'd.

- ⌘ How did you describe this in your logic model?
- ⌘ Is it sufficient for a new person to pick it up, understand it, and proceed without interruption?

Project Implementation & Data Collection

- ⌘ Do the people providing services as indicated in the logic model understand their fund source specific responsibilities?
- ⌘ How do you ensure services provided are adequately documented in client files?
- ⌘ How are they reporting these services?
- ⌘ How often are they reporting their data to the person responsible for submitting reports to OCJP?
- ⌘ How are you verifying the accuracy of the data?

Project Implementation & Data Collection

⌘ Chapter VII – Confidentiality Policy

- ⌘ The agency must have in place procedures regarding the disclosure of personally identifying information. Information should never be released or shared with another individual or agency without the signed release by the client. A Release of Information **must be written, informed, and reasonably time-limited, depending on the situation.** As a rule, the Release of Information should not exceed a 15 to 30 day time period. **Agencies must write a specific date of expiration on the signed release of information form.** At a minimum, the client should understand what information will be shared, why the information will be shared, and who will have access to the information. **A separate Release of Information should be signed by the client for each agency to which communication will be made on behalf of the client. A signed Release of Information must not be a condition of services.** A sample Release of Information form can be found in Appendix G.

Release of Information

⌘ The client should sign the release unless s/he is an unemancipated minor or a disabled adult, defined as “any person eighteen (18) years of age or older, determined by the court to be in need of partial or full supervision, protection and assistance by reason of mental illness, physical illness or injury, developmental disability or other mental or physical incapacity.” (See Tennessee Annotated Title 34, Guardianships, Chapter 1, and Section 101(7).) Minors who are permitted to receive services without parent or guardian consent are allowed to authorize their release of information without parent or guardian consent. In the case of a minor, the minor and a parent or guardian should sign the release; in the case of a disabled adult, a legally appointed guardian should sign it. The abuser of the minor or person with disabilities, or the abuser of the other parent of the minor, may not give consent

Release of Information

Questions?