



ISSUING AUTHORITY: INDIANA DEPARTMENT OF CORRECTION

EFFECTIVE DATE: 1/1/2024

2.5 Compliance & Monitoring

APPLICABLE TO:

Entities who receive Community Corrections & Justice Reinvestment Grant Funding

1. Adult Community Corrections;
2. Probation;
3. Pretrial Services;
4. Court Recidivism Reduction Programs;
5. Prosecutor’s Diversion Programs; and
6. Jail Treatment;

Summary

To provide an overview of compliance standards and procedures for entities funded under Community Corrections & Justice Reinvestment Grant Funding.

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Overview

[IC 12-2-6](#) states “To remain eligible for financial aid under this chapter, a county must comply with its community corrections plan and the rules and minimum standards adopted by the Indiana Department of Correction (Department, IDOC).” Rules and minimum standards adopted by the Department are outlined in the executed grant contract and procedural bulletins.

Community Corrections Division staff members will monitor and audit a grant funded entity’s compliance with the executed grant contract, statute, procedural bulletins, and required report submissions. Contract Non-Compliance is a verified violation of the executed grant contract, special conditions, procedural bulletins, and/or failure to follow statutes, rules, or policies that cannot be remedied from technical assistance as outlined under Procedural Bulletin Section 2.6, *Technical Assistance and Corrective Action*.

Grant Compliance & Monitoring

Technical Assistance Services

Technical Assistance is available via all members of the division to ensure that grantees are educated regarding Grant Award requirements, Grant Subaward requirements, and high-risk problem areas are identified and tracked through the monitoring process to serve as the basis to plan and formulate technical assistance and training for grantees.

Examples:

- Program Directors provide technical assistance through application training (either group or one-on-one), web publications, and resources.
- Fiscal Auditors provide technical assistance through training on the financial documentation and audit processes
- Research staff members provide technical assistance on data requirements
- CPC/ CPC-CSA Assessors and/ or Program Directors provide technical assistance through programmatic reviews and reports.

Day-to-Day Communication

Program Directors maintain ongoing communication with grant entities to provide programmatic guidance and review funding requests.

Site Visits

Program Directors conduct periodic site visits to review the overall implementation of the program, adherence to program guidelines, and achievement of grant award goals and objectives. Site visits may also be used to identify issues and provide technical assistance as needed.



Submission & Financial Compliance

A compliance check is used to determine whether the grant entity is following specific procedures or rules set by the Procedural Manual and Grant Contract, as well as the Community Corrections statute IC 11-12. The compliance audit will also be used to determine:

- The extent of compliance with all state and local ordinances.
- Funds are expended in accordance with the approved budget including amendments and DOC approved transfers.
- Purchases and expenditures are documented, justified in furtherance procedural formats acceptable to the Board of Accounts.
- That all required documents and reports are submitted to the Department.
- Assets are documented, inventoried, and safeguarded.

Non-Compliance Procedure

A **Corrective Action Plan** (as referred to in Procedural Bulletin Section 2.6, *Technical Assistance and Corrective Action*) will be created by IDOC Community Corrections staff in conjunction with the grant funded entity to address deficiencies identified. Action items outlined in the **Corrective Action Plan** will assist the grant-funded entity in becoming compliant with the grant contract requirements. The entity will be given an opportunity to make necessary changes.

If a **Corrective Action Plan** is deemed unsuccessful by an IDOC Community Corrections staff member, the following actions will occur:

1. All documentation and reports will be given to the IDOC Community Corrections Assistant Director, IDOC Community Corrections Director, and the IDOC Deputy Commissioner of Re-Entry. All information will be reviewed to confirm there are reasonable grounds to believe that a grant-funded entity is not complying with its executed grant contract, administrative rules, statutes, or IDOC Procedural Bulletins and that **Corrective Action Plans** have been unsuccessful. If it is confirmed that the grant-funded entity is non-compliant with grant requirements, the IDOC Commissioner will be notified.
2. If contract non-compliance has been confirmed by the IDOC Commissioner, the IDOC Community Corrections Division will send notification of contract non-compliance to the grant funded entity's primary contact, the Community Corrections Advisory Board Chair, the Board of County Commissioners or City-County Council, and the Chair of the Justice Reinvestment Advisory Council (JRAC) via memorandum, letter, or other form of official communication.
3. The notification will set a date for a hearing to be conducted as outlined under [IC 4-21.5-3](#). At least thirty (30) days' written notice of the hearing will be given to the Board of County Commissioners or City-County Council, the Community Corrections Advisory Board, and entity primary contact. The purpose of the hearing will be to ascertain whether grant contract compliance has been achieved since the notice was received.



Contract Non- Compliance

The following consequences may be imposed as a result of confirmed Contract Non-Compliance:

- Alternative solutions to achieve compliance may be proposed by the IDOC Commissioner
- Financial aid may be suspended by the IDOC Commissioner until compliance is achieved
- An investigation may be conducted by State Board of Accounts if the non-compliance is a result of expenditure of state grant funds outside the term of the executed grant contract or statute
- Grant funding may be terminated

To return to Contract Compliance status, the IDOC Community Corrections Division must verify corrective action was successfully completed. The grant funded entity must implement a Community Corrections Advisory Board approved policy or standard operating procedure to prevent the recurrence of non-compliance.