

**Office of Juvenile Justice and Delinquency Prevention  
 State Relations and Assistance Division  
 FY20 Title II Category 1 Call  
 December 18, 2019**

**Welcome and Roll Call**

**Lisa Hutchinson, Director, Center for Coordinated Assistance to States (CCAS)**

Hello. Welcome to today's OJJDP call. This is Lisa Hutchinson from American Institutes for Research, Project Director for OJJDP's Center for Coordinated Assistance to Stay. We have a lot of information that will be shared on today's call, and so just some quick housekeeping information. If you could please mute your phones when you're not actively talking, that will help us with any background noise. Should it become necessary that we need the phones, we will let you all know and open them up when directed by OJJDP for questions. So if you could help us minimize the background noise by muting your phone, that would be greatly appreciated. I'm going to turn over to Katie Penkoff with the Center for Coordinated Assistance to Stay, and she is going to get a quick roll call of all states who are present.

<b>OJJDP</b>	<b>Name</b>
	TeNeane Bradford
	Kathy Manning
	Julie Herr
	Tina Borner
	Keisha Kersey
	Brittaney Ford
	Didier Moncion
<b>CCAS</b>	Lisa Hutchinson
	Okori Christopher
	Katie Penkoff
	Cassy Blakely
	Kia Jackson
	Mark Ferrante
	Kenya Roy
<b>State</b>	<b>In Attendance/Mark with X</b>
1. Alabama	X
2. Alaska	X
3. American Samoa	
4. Arizona	
5. Arkansas	X
6. California	X
7. Colorado	X
8. Connecticut	
9. Delaware	
10. District of Columbia	X
11. Florida	X

State	In Attendance/Mark with X
12. Georgia	X
13. Guam	
14. Hawaii	X
15. Idaho	X
16. Illinois	X
17. Indiana	X
18. Iowa	
19. Kansas	
20. Kentucky	
21. Louisiana	
22. Maine	
23. Maryland	X
24. Massachusetts	X
25. Michigan	X
26. Minnesota	
27. Mississippi	
28. Missouri	X
29. Montana	X
30. Nebraska	
31. Nevada	
32. New Hampshire	X
33. New Jersey	X
34. New Mexico	X
35. New York	X
36. North Carolina	
37. North Dakota	X
38. Northern Marianas Islands	
39. Ohio	
40. Oklahoma	
41. Oregon	X
42. Pennsylvania	X
43. Puerto Rico	X
44. Rhode Island	X
45. South Carolina	X
46. South Dakota	
47. Tennessee	X
48. Texas	
49. Utah	
50. Vermont	X
51. Virgin Islands	
52. Virginia	
53. Washington	X
54. West Virginia	X
55. Wisconsin	X
56. Wyoming	

**Welcome from Dr. TeNeane Bradford**

**TeNeane Bradford, Associate Administrator, OJJDP, SRAD**

Good afternoon, everyone. Excited to be connecting with you again. More than you know. We are slightly embarrassed by the fact that we thought we were close to releasing Title II solicitation back around the conference even before then, and then life happened, and so we're just ecstatic that we are getting it out. I also hope you guys had a great Thanksgiving, and as we approach the next few holidays, that you enjoy that time. Apologies for getting with you before the holidays, but we thought the sooner the better as it was so late getting this released, at least with the timeline that we wanted and what we were trying to prepare you for.

We have been quite busy since the conference planning the next one and settling on some dates. We should get a save the date out to you fairly quickly. We are also still following up on questions and FAQs from the conference. We plan to either have a special webinar for that and/or combine it with the Category 2 call. We're hopeful that we can get that to you sooner than later. We are also working on a number of reports, and responding to JJRA oversight audit, and we are preparing to hire new staff.

We're excited about that. We're hoping to close out that process fairly soon. You may be getting some state reassignments as early as the middle of January towards the end of February. With the whole staff, we'll have less states to manage, and more opportunity to be responsive to your calls, build the necessary relationships that we so frequently speak of. Get out to your SAG meetings, state conferences, provide technical assistance and training alongside of our CCAS partners as well as get the compliance audit schedule completed. With that said, I'm going to turn it over to Kathy so she can get you guys through the call and we can get you off and onto your holiday fun. Apologies to some of you who had parties scheduled I heard. Thanks for being flexible and agile, and we'll certainly work to do the same.

**FY20 Title II Formula Grants Program Solicitation: Category 1 Programmatic Overview**

**Kathy Manning, State Program Manager, OJJDP, SRAD**

Good afternoon, everyone, and thanks for joining us for our Title II party. I share TeNeane's enthusiasm for being able to talk to you about the FY20 solicitation at this point. Today's call is designed just to be about the Category 1 requirements, the first deadline coming up. We're doing it as a call this time because we wanted to be able to get with you as quickly as possible once the solicitation was released. It didn't work for us to do a webinar this time, but this call will be just about Category 1, and then in the new year we will be having a call/webinar about Category 2, so stay tuned. There will be a second part of this, and that's when we'll get into, really, the nitty gritty of the Category 2 requirements.

In the meantime, this call is being recorded, and CCAS is also taking minutes or notes as they always do of these calls. After the new year, we will be distributing a recording of this call as well as minutes from the call. For anyone who couldn't join us or if you want to be able to go back and reference these later, those materials will be available to you. I think all of you are aware of this, but just to be clear, this FY20 solicitation is for year three of your current three-year plan. In theory, it would have been an update year, but you also know that this is the first solicitation that incorporates the changes based on the reauthorization. It's a little bit different than a typical update year in the past.

There are some new requirements, as you're aware, and some new information that will be needed from all applicants. We'll cover key points of those on the call, and then again in detail in the Category 2 call in the new year. But having said that, even though we're doing this call and the Category 2 one,

please be sure to read the solicitation in its entirety. It does contain differences from last year, so I don't want anyone to assume that you can just do the same as last year. There are some differences.

The first difference I want to highlight is just a technical one. Those of you that were around last year recall that we did something a little different last year in GMS where there was a Category 1 application and then a different Category 2 application. You actually went through the GMS registration and creating of an application twice. It will be different this year. We are still having two deadlines, and as you've heard me already on this call, we're still referring to those as the Category 1 and Category 2 deadlines. And again, we're going to be talking through the details of these.

We are still referring to things as Category 1 and Category 2. That really refers to the two deadlines. In GMS, it will be one application. You'll do your GMS registration, which all states need to do, even though you have GMS accounts and you have awards. But in GMS, you'll do your registration for this specific solicitation, and you'll do that by February 5th. By the way, I see that some of you have already done your GMS registration, so thank you very much and I'm approving those as they come in.

You'll do the GMS registration one time. You'll submit your application for the first deadline, which is February 14th. Happy Valentine's Day to you all. You'll submit that application. We will do our Category 1 reviews and will return that application to you in GMS for you to add the materials that are due in GMS as part of Category 2. So what that means is you will not have two separate application numbers for FY20. The same application that you use in Category 1 is what you will resubmit in Category 2, and that's the one that the award would be made from.

Apologies for a change in the process, but it's cleaner and makes more sense in terms of documentation and award processing. When that all occurs, we'll be in touch with you after the submissions for the Category 1 deadline. At the time that we are change requesting these back to you, you'll be notified and we can answer any questions you have at that point. You will just be adding your Category 2 materials to it. You won't be changing anything about your Category 1, but you'll be adding your Category 2 GMS materials to it and resubmitting. Hope that makes sense. Again, happy to help folks through any of the technical questions around that.

Let me just pause and say as I go through Julie and I are going to walk through this information, and then we will give an opportunity for you to ask any of your questions. We're keeping the lines muted now to try to minimize background noise and help with call quality and the recording. But we will later in the call have an opportunity to unmute the lines and ask questions. Jot down your notes if you have any questions as we go through things.

I've already given a little preview of this, and it is on the cover page of the solicitation, but the deadlines to keep in mind February 5th is for everyone to complete their GMS registration. February 14th is the Category 1 deadline, and March 30th is the Category 2 deadline. Pages four and five will really be your handy dandy tip sheet for what is due when and where. As we've said, there's a list of items due in Category 1. All of those items are due in GMS. And for Category 2 there's another list of items. Some of them are due in GMS, some of them are due in the [Compliance Monitoring Tool](#). So we're largely going to talk through the Category 1 requirements. I'm going to list them first and then circle back, and I'll talk about some of them. And Julie will talk about some of them as well. For Category 1, we have the [Year 3 Eligibility Assurances and Certifications form](#).

Hopefully, you have all seen by now if you have gone into the [solicitation](#), you see all the links for where all the appendices or attachments are found. Most of these items have their own link on that same page. The [Year 3 Eligibility Assurances and Certifications form](#), the Plan for Compliance Monitoring describing an effective system of monitoring, the Compliance Monitoring Universe, the [Compliance](#)

[Plans and Resources Certification](#) where applicable, the [State Advisory Group Membership Roster](#), the [budget placeholder document](#), we know that we won't know allocations at the time that Category 1 is due, so that's just a placeholder document. And then we are going to correct this, I want to add one bullet to your Category 1 list there. It is listed in Category 2 but actually due in Category 1, it is the [Financial Management Questionnaire](#). The GMS system will require you to submit that with your application, so you would be prompted when submitting your Category 1 material. We're going to get that corrected in the list here, but please note that the [Financial Management Questionnaire](#) will be due in Category 1 now. Again, all of those items due into the GMS system.

Then you see there is a list of things that are due in Category 2. Again, we'll get into that in detail in the next call, but all the remaining items including but not exclusive list, [your data](#), [your training policy certifications](#), your narrative, the typical grants application forms like disclosure of lobbying, etc., all of those items due in [Category 2 as you see on page five](#). I think I may have misspoken and said that Category 2, I might've said the deadline was the 20th. Just a correction there. Category 2 deadline is March 30th, so thanks to those who pointed that out. Again, the front page of the solicitation does have the correct deadline. February 5th to register in GMS, February 14th for Category 1, and Category 2 March 30th. Apologies if I misspoke a minute ago on that.

As I said, pages four and five with these bulleted lists, now we want to walk through and a little bit more detail about the items in the Category 1 bulleted list. The first one, the [Year Three Eligibility Assurances and Certifications form](#), I'm going to talk about that a little bit, and then when Julie gets to her portion, she will also talk about that. What I wanted to mention about that form is it looks similar but not exactly like it looked last year. Some of you are aware that we've started using this form to ask states to certify that you meet all the requirements of the JJDP Act. The format of how we do that changes in various years, and it also depends partly on whether it's an update year or not. If you've already given us full information about these sorts of things, we try not to have you do duplicate work on that.

The reason it looks a little bit different this year than last year is because the reauthorization brought in some new requirements. So we couldn't just, in a blanket format, say that you certify all these things because there are some new requirements and new information, so we need to have you address those things. The way that we did that in the form this year, because some information is due in Category 1, some information is due in Category 2, that form is broken out so that you can simply re-certify for things that you have told us previously, "Yes, we have this. We meet this requirement." Or things that are sort of more blanket certifications that you just go ahead and take care of that in this form.

But you'll see in that form, and I'm flipping to my page for that, I want to use the exact language. In the middle of that page, you'll see where it says, "The state affirms it will submit the required narratives in Category 2." This is a way to address the fact that we wanted to give you enough time. We didn't want to make all this new narrative and information due in Category 1. We wanted you to have enough time to work on that, but we needed you all to indicate your agreement that you will be providing that in Category 2. So that's why the list is broken out a little bit among the different requirements, as you see in the middle of the page where we list things out by number. It sounds complicated. I don't think it's as complicated maybe as it sounds. But certainly, when we get to the questions portion, we can entertain any questions on that. And again, when I turn it over to Julie in a few minutes, she'll address any questions about the compliance aspects of that form.

On that note, I'm going to skip the next couple of bullets because Julie's going to be talking about those when we get to her portion. I'm going to jump down to the first bullet at the top of page five, which is the state advisory group roster. You all are aware that the reauthorization brought in some new membership categories for your SAGs. Now, that doesn't automatically mean you have to get new

people. It's possible that for some of these new categories, perhaps some of the folks you currently have on your SAG might fulfill some of those requirements. That would be something to look at is to scan again your membership and see what categories they may fulfill. But you'll see on the roster, and you see in the act the new categories including persons with expertise in mental health and substance abuse, representatives of victim or witness advocacy groups, including at least one with expertise in sexual abuse and exploitation and trauma, and then a tribal representative for those states with Indian tribes where feasible, or someone with expertise where it's not feasible.

I was anticipating that somebody might ask, "Well, how do we know if that Indian tribe SAG membership requirement applies to us or not?" The act states that this requirement is for those states with Indian tribes, and the Act does define an Indian tribe as a federally recognized Indian tribe or an Alaska Native organization that has a law enforcement function as determined by the Secretary of the Interior in consultation with the Attorney General. If you're not sure, reach out to us, but I think you all will be familiar with how that applies.

I know I said the budget is just a placeholder, so we don't need to worry too much as when you do your application submission about that exact document. But I did want to point out the new amount allowed for the SAG. The reauthorization now allows for the amount to be allocated for the SAG to be up to 5% of each state's congressional allocation, not your final award amount necessarily, if it's different due to being out of compliance with something. So this will be specific to your award, so you can allocate up to 5% on that. I do just want to make sure everybody has their phones muted for the moment. We're getting a little bit of feedback noise, and I want to make sure everyone can hear. That change applies to all, including territories. In the past, territories have been limited to a lesser amount. So now that applies across the board. All states and territories starting with the FY20 budget can allocate up to 5%.

This, again, is not specifically part of your Category 1 submission, but I wanted to point out about the way that we did the wording of the [program areas in the appendix](#). In the past, we have used language that was a little bit of a summary of some program areas and this time we literally took the language from the Act. So you'll see that the wording is a little bit different. But if you have any questions about something you're doing and where it fits, certainly, your program manager can help talk you through that. But just wanted to point out that the language does come exactly from the Act for that.

We talked about the budget of being just a placeholder since we do not know final allocations yet. And then I mentioned that financial capability questionnaire, there should be a bullet for that in the Category 1 requirement. You'll submit that with your Category 1 submission.

I want to take just a minute. I'm breaking my own rule here for a second because I'm anticipating a question that some folks might have. This is something that we can talk about more when we do the call specific to Category 2, but I'm sure you're reading the entire solicitation. You're anticipating what work you might need to do. I just wanted to mention one piece about how Category 2 is going to work. Again, although this is an update year, new requirements, new information required based on the reauthorization, it won't be possible in Category 2 for the narrative to just say, "We have no changes whatsoever. The end."

This time, an addendum will be required of all states. That addendum will be specific to the new information, the new narrative that is required by the reauthorization. I'm just summarizing. I'm not going to walk through each one, but it is a narrative around things like a plan to reduce the number of children housed in secure detention and corrections who are awaiting placement and residential treatment, a plan to use community-based services, eliminating the use of restraints on known pregnant juveniles. That section that I think you've been familiar with looking at those changes. Everyone in

Category 2 will need to provide an addendum that addresses those things. Now, again, we should talk about this more in the next call, but you may recall we had a call with Administrator Harp back in August.

I think it was JJ Specialist and maybe Compliance Monitor call combined where Administrator Harp talked about these new narrative requirements. And I think she was quite clear in saying that this is not intended to be overly burdensome on you all. We are not looking for lengthy books of information about this. She gave some examples as she talked through each one, "Look, tell us what you have. If you don't have it yet, tell us that. Tell us what you're thinking about doing." So I just want to be clear about that, that we're not looking for 80 page documents on any of these things. We will talk through a little bit more what we're looking for there. But just anticipate, as she said in that call, that these are brief responses, not overly detailed. If you don't have it, you don't have it. And you tell us what you're doing to work towards having a plan for that thing. So everyone will submit an addendum. Besides that, you would tell us whether you had any other changes to your currently approved plan.

If you don't have any other changes, just say, "Nothing else new." Or if you are making some big change, you would provide the narrative for that. I just wanted to preemptively address that, because I think it's probably on people's minds as one of the bigger new aspects based on the reauthorization. But to be clear, that is not due in Category 1, and we don't anticipate that being a lengthy document for you all. With that, I'm going to turn it over to Julie Herr to continue talking about Category 1.

### **FY20 Title II Formula Grants Program Solicitation: Category 1 Compliance Overview**

#### **Julie Herr, State Program Manager, OJJDP, SRAD**

What I think I'm going to do is I'm going to go ahead and pick up where Kathy left off in terms of working through that summary list that you'll find on [page four of your solicitation](#). Hopefully, all of you have the solicitation in front of you. Either you've printed it out, or you're looking at it on your screens. I am looking specifically at the list of Category 1 items that are due on page four of the main body of the solicitation. Just a reminder before I get into the specifics of the list that Category 1 is about eligibility. It's about baseline eligibility for the Title II Program. You may recall that this past year, at the end of the Category 1 process, everyone, every state and territory received a letter indicating whether you were found to be eligible as a result of the Category 1 review process.

We just wanted to let everyone know that there has been a slight change to that process, and this year, what's going to happen is you will only receive a Category 1 letter if you are determined to be ineligible as a result of that Category 1 process. So no news is good news. If you don't hear anything from us, then the assumption is that you are eligible and you should move forward with submitting your Category 2 materials. If there was a problem, and trust me in saying I don't think there's going to be anyone who will only be learning about this when the letter shows up in their mailbox, we will likely have had multiple conversations with you beforehand. But if you are ineligible pursuant to the Category 1 review, you will receive a letter from us that states that you are ineligible.

Just wanted to make everyone aware of that one really big change. So again, as Kathy mentioned earlier, just a reminder that your Category 1 materials are all due in GMS. So even though a lot of these materials are compliance-related, and typically, in the past, we have submitted compliance materials primarily through the CMT, the [Compliance Monitoring Tool](#), just like last year, the Category 1 materials, whether they are compliance or programmatic, are all going to be submitted via GMS.

Let's talk first a little bit more about that [Year 3 Eligibility Assurances and Certification Form](#) that Kathy referenced a few minutes ago. As she indicated, there are some programmatic aspects to this form. And

then there are also a number of compliance aspects. What you'll see if you have that form in front of you, you'll see if you look down towards the bottom of the first page, under number one, it starts to talk specifically about your compliance with the core requirements for the FY18 reporting period. The first question here is it's going to be asking you if you were found in compliance with DSO for the 10/1/17 to 9/30/18 reporting period. This is the compliance determination for which you would have just received a letter, sometime probably this summer from us. You just need to go back and reference that letter. Hopefully, everyone knows if you are in or out of compliance with all of the core requirements. But just in case you forget, you can go back and look at your 2019 determination letter.

You just need to fill out the check boxes here and either say yes, you were found to be in compliance or no, you were not found to be in compliance with DSO. If yes, then you are going to go over to the [Compliance Plans and Resources Certification](#), and you are going to also mark the box on that Compliance Plans and Resources Certification that you are in compliance with DSO.

If you are not in compliance with DSO, just a reminder that you must submit a plan for DSO. This is per the regulation. The regulation states that if you are found to be in compliance in the most recent prior year, you are no longer required to submit a plan for DSO as a part of your Title II application. All you need to do instead is mark that box off on the [Compliance Plans and Resources Certification](#), mark it off here that you're in compliance, and you will have fulfilled that requirement. If you are not in compliance with DSO, you must submit a plan for DSO. You will see at the top of page two, it goes through and talks about a couple of the requirements. Again, this is directly from the regulation of what needs to be included in your DSO plan, and this needs to be submitted as a part of your Category 1 documentation in GMS.

I don't think there were very many states who were out of compliance with DSO this year, but if so, that would be the requirement. [Number two, again, I'm on page two](#), moves on to talking about separation. Again, same deal here. If you were in compliance with separation, you do not need to provide us with a separate separation plan. Instead, you can mark off the box both here and on the Certification of Compliance Plans and Resources that you were in compliance with Separation, and you have met that requirement. If you are not in compliance with separation, you must provide a plan for separation, and the requirements for that plan are listed right here. If you happen to fall in this category where you are out of compliance with one of the core requirements and you are required to provide a plan, then please feel free to give a call to your Program Manager. We are happy to talk through that with you just to make sure that you're clear on all of the requirements there, and what needs to be included and so on and so forth.

But again, if you are in compliance, the process is pretty easy. You just need to make sure that you mark off the box "yes," both here and on the [Compliance Plans and Resources Certification](#). You will note under separation it also references the requirement to submit a [Training Certification Form](#). This is the same Training Certification Form that you submitted last year. You're basically indicating that there is a policy in place to address the training requirement for staff who work with both adult inmates and juvenile, including in co-located facilities. Just so that you know, even though that training certification policy is referenced here on this Category 1 form, you actually do not need to submit your training policy certification form until Category 2. This is basically just giving you a heads up that you will eventually have to submit it. It is not required as part of your Category 1 documentation.

Moving on to, [number three on page three](#). Again, same process for jail removal. If you were in compliance with jail removal for the FY18 compliance reporting period (that impacted your FY19 funding), then you mark off "yes." If you are not in compliance, then you mark off "no," and you will need to submit a plan for jail removal. You will also need to submit the training certification policy. I



don't want anyone to read this and think that you only have to submit the training certification if you are out of compliance. That's actually not true. Everyone is still required to submit the [Training Certification Form](#) as a part of Category 2. This is just a heads up, and I think we actually repeat this requirement something like four times here in this document, just to make sure you are extra, extra clear that you have to submit the training policy form.

Just be aware that everyone will need to eventually submit that document as a part of Category 2. And just FYI, one other slight error that we found in solicitation, I believe it says on that training certification policy form that it is to be submitted in Category 2 to GMS. That is not correct. All of your compliance forms that you submit as a part of the Category 2 process will be submitted in the [Compliance Monitoring Tool](#), not in GMS. We're going to be going ahead and making that change online. So hopefully that error will be fixed very shortly. The next thing that this form talks about [under number four](#) is the requirement for states to provide for an effective system of monitoring. We had a little bit of confusion with some states last year. Some thought that if you were in compliance with all three core requirements listed on the form, that that meant that you were not required to submit a plan for compliance monitoring. That is not true.

Regardless of your status, regardless of whether you're in compliance with DSO, separation, and jail removal, you still must respond to the requirements under number four, and that is your description of how you maintain an effective system for monitoring compliance. The details of how you need to demonstrate that in your plan are provided. On the next page, [beginning at the top of page four](#), you will see we have listed out all of the required elements for an effective system of monitoring as we discussed with you in Kansas City. Hopefully all of you were there, or if you were not, you got the information.

Under the JJRA, and the new language about an effective system of monitoring, rather than an adequate system of monitoring, we are moving from 10 required elements to eight required elements. The idea here being that an effective system is also an efficient one, and we're not going to make you talk about some elements anymore that we felt were maybe a little bit repetitive, a little bit more administrative in nature. We have eliminated the requirement to provide a monitoring timetable and we have also eliminated the requirement to talk about your barriers and strategies.

Now, we've indicated in the past that in order to meet this monitoring plan requirement that you could simply submit a copy of your updated and comprehensive Compliance Monitoring Policies and Procedures Manual. That is still the case. If all eight of these elements are included in your manual, then you do not need to submit a separate plan for compliance monitoring. All you would need to do is upload a copy of your Compliance Monitoring Policies and Procedures Manual.

If any of you are thinking, "Does this mean that I need to go into my policies and procedures manual and delete the section on barriers and strategies and delete the section on compliance monitoring timetable?" You do not need to do that. It's fine if they are still there. All we are saying, basically, is if those elements were not there previously, you do not need to add them. We are not going to take points off, in essence, if you have included additional information over and above what is required. That is essentially how you would meet requirement number four. Again, this applies to everyone. And the last step, of course, as Kathy mentioned, would be the certification, filling out and getting the necessary signatures that are all [listed on page five](#). That essentially is the [Year 3 Eligibility Assurances and Certification Form](#).

The next compliance-related document that is listed on [page four of the solicitation](#) is repetitive. It says, "The Plan for Compliance Monitoring describing an effective system of monitoring as required under 34

U.S.C. § 11133(a)(14) and detailed here." If you click on that link, you will see that that link takes you back to the list of all the appendices, and it is actually referring you to that [Year 3 Eligibility Assurances and Certification Form](#) that we just discussed. Everything that you need to know about the plan for compliance monitoring is listed in that [Year 3 Eligibility Assurances and Certification Form](#). We just wanted to list it again separately here in this list to make sure that it was absolutely clear that that is a required element.

The [next item on the list](#), I wanted to specifically draw your attention to because this is a little bit of a change from last year. We are asking this year that you submit a copy of your Compliance Monitoring Universe as a part of Category 1. Last year, you may recall that that we didn't ask for the Compliance Monitoring Universe until Category 2. The reason that we are asking for it under Category 1 this year is because technically our review of your Compliance Monitoring Universe is part of our determination about whether your state is maintaining an effective system of compliance monitoring. Some of you may recall in previous years we looked at your Compliance Monitoring Universe, and you may have received a phone call saying, for example, "We didn't find the court holding facilities in your universe," or, "We didn't find any prisons in your monitoring universe, and those need to be included." And then you maybe got a change request.

This is why the Compliance Monitoring Universe is being asked for as a part of the baseline eligibility determination. So please, before you submit your Compliance Monitoring Universe for Category 1, do go through and check, and make sure that all of the required facility types are included there. I'll say this just because I know if I don't someone is going to ask. As we talked about in Kansas City, you do not need to have non-secure facilities included in your Compliance Monitoring Universe this year. That is a change under the JJRA. They are no longer required to be in your Compliance Monitoring Universe. Please do not go through if you already have them in there thinking you need to delete them all from your universe. If you have more information than what is required, that is not problematic. If you have chosen to keep them there, as a number of you have indicated, that is fine. Just wanting to let you know that that is no longer a requirement.

The last compliance document that is due as a part of Category 1 is the [Compliance Plans and Resources Certification](#). I've already talked quite a bit about that document when we were covering the [Year 3 Eligibility Assurances and Certification Form](#). It is a little bit repetitive. There is nothing that we like better here at the federal government than to be repetitive. The [Compliance Plans and Resources Certification](#) is just going to ask you once again to go through and certify that you were in compliance with DSO, separation, and jail removal for the most recent completed reporting period that we have made a determination for which, would be FY18. That's the data reporting period for October 1, 2017 to September 30, 2018, and the period for which you would have received an eligibility determination letter this summer that's informing your FY19 funding.

That is essentially it. This is a very straightforward form. You just need to make sure that you have completed the check boxes here. Either you are in compliance, in which case you check them off, or you are out of compliance, in which case you leave a blank. And that form then, of course, needs to be signed by the appropriate certifying officials. And that is essentially it for the compliance Category 1 documentation. All of the remaining compliance documentation is going to be due as a part of Category 2. You can see that [list is on page five of the solicitation](#). As Kathy mentioned earlier, we will be having a separate call and/or webinar to talk with you a lot more about the Category 2 requirements in the new year.

## **Kathy Manning, State Program Manager, OJJDP, SRAD**

Just to clarify, I should have said earlier, we have not identified the date and time for that call yet, so you have not missed an announcement about that call. We will be figuring that out, and a message will go out on the listserv as soon as we can, but it will be in the new year. With that, we'll open it up for anyone who has questions.

### **Questions from States:**

- **Trista Deame, New York** – I do have a question. And I know it's typically covered under Category 2, but given the timeline, I want to make sure that this is still true, or else I'm going to have to do a lot of work in terms of reporting period. On page six, it talks about the Compliance Data Reports and RED plans and data are for the federal fiscal year. In the past, the RED data could be submitted either on the federal fiscal year, state fiscal year, or calendar year. Just want to make sure that that is still true.
- **Julie Herr, OJJDP** – We have Tina Borner on the line and available to speak on that. We had a feeling there might be some DMC questions that would come up as well. I'm going to go ahead and let Tina speak to that.
- **Tina Borner, OJJDP** – As far as I know, and I may have to go back and double check, we moved everything over to a federal fiscal year. I need to double check that, and I can get back to you. We will be having in January the DMC call, or the RED call, and a lot of this information will be put out there.
- **Pennsylvania** – This is Pennsylvania and a lot of that was garbled.
- **Kathy Manny, OJJDP** – Sorry, folks. Hold on one second, because actually, TeNeane is going to step in and address. So, hold on just one second for TeNeane to respond.
- **TeNeane Bradford, OJJDP** – Hey, Tina and Trista, this is TeNeane. Last year, we decided that it would be the most recent fiscal calendar, fiscal or state year. You had three different options, and so I'm making a decision based on that.
- **Trista Deame, New York** – We still have the same three options that we had last year?
- **TeNeane Bradford, OJJDP** – Yes.
- **Trista Deame, New York** – Okay, perfect.
- **TeNeane Bradford, OJJDP** – We'll go into detail... And I don't mean to cut you, Tina. If there needs to be an issue clarification, it would be, but I get to make a little bit of a decision. So that's a decision. But I would note, and we'll talk about it more on the DMC call that you're basically telling us the story about what you said about the data you submitted the year before. Much more detail that Tina will be able to and the team will go into in the Category 2 call. But we will issue a correction if that was something confusion on the application through the most recent data.
- **Trista Deame, New York** - Okay. That would be helpful, because I know that we went back and forth on the compliance stuff when the new regs went in for a DSO, jail removal, and sight and sound, and that we still have those three options. So, thank you for clarifying.
- **TeNeane Bradford, OJJDP** – Yes, for RED.
- **Trista Deame, New York** – RED specifically, yes.
- **TeNeane Bradford, OJJDP** - The other three cores are regulated.
- **Trista Deame, New York** – The federal fiscal year.
- **TeNeane Bradford, OJJDP** – Yes.
- **Pennsylvania** – But for RED we could still use the calendar year.

- **TeNeane Bradford, OJJDP** – I got two different questions.
- **Pennsylvania** – Pennsylvania just wants to clarify that for the red reporting, we can still use calendar year data.
- **TeNeane Bradford, OJJDP** – Yes.
- **Pennsylvania** – Thank you.
- **Julie Herr, OJJDP** – Just so everyone is aware, I believe we have our DMC specific conference call the first week in January. I know that a lot of you all are going to have additional questions about preparing your DMC plans and I believe, Tina please jump in here and correct me if I'm wrong, that we are going to be having a call that first week in January that will focus specifically on DMC.
- **Tina Borner, OJJDP** - That is correct.
- **Mark Thatcher, Montana** – This is Mark from Montana. Quick question. On your certification of Compliance Plans and Resource Certification, it asks for the date, the month and date that OJJDP found us in compliance for that letter that was sent out. The problem is the letter I received from Administrator Harp does not have a date on it. For some reason, that wasn't put on there. My question is do I need to have another letter submitted with the date or can I just use the date that we received the letter or how should I do that?
- **Pennsylvania** – Pennsylvania's letter didn't have it in it either.
- **Julie Herr, OJJDP** - This is Julie. It sounds like there are a couple of other states that said that they received undated letters as well. So our apologies for that. This is the first that we're hearing of that particular problem. So, did you want to say something, TeNeane?
- **TeNeane Bradford, OJJDP** – Yes. Again, humble apologies on behalf of the team. Just use the date received. We do have a date stamp that is used through Caren's Administrative Office. So, we'll do a cross check. Typically, you would have also gotten that PDF in an email to the POC the quickest to get it to. But just use the date received on your end.
- **Julie Herr, OJJDP** – Yes, and if there is –
- **Mark Thatcher, Montana** - So the date received is what we should put in there. Gotcha.
- **Julie Herr, OJJDP** – And if there is anyone who can't find that letter, for example, and don't know what it was dated, or when it might've been received, then you can get in contact with your program manager here at OJJDP, and we can easily look it up for you.
- **Mark Thatcher, Montana** – Thank you.
- **Pennsylvania** – Thank you.
- **Mona Barnes, Colorado** - This is Mona from Colorado. On the documents that we need to submit copies of, can we provide a link instead, or do you want an actual copy of the document?
- **Julie Herr, OJJDP** - These documents for Category 1 need to be uploaded into GMS, which becomes part of the permanent grant record. So they actually need to be uploaded.
- **Mona Barnes, Colorado** – Okay, thank you.
- **Manpreet Kaur, Indiana** – This is Manpreet Kaur calling from Indiana. I was just wanting to make sure, when are we having the Category 2 call? I'm not sure if you guys are sending out email calendar invites. I didn't get anything.
- **Kathy Manning, OJJDP** – Right This is Kathy. As mentioned, we have not announced that date yet. It has not been established. We will send a message out on the listservs once that date and time are established. It will be in 2020. It will be after the holidays, after the new year. But the date and time has not been established yet.
- **Manpreet Kaur, Indiana** – Thank you.
- **Julie Herr, OJJDP** – And we will try to get you that notice with as much advanced notice as we possibly can.

- **Brock Landwehr, Kansas** – Hi, this is Brock from Kansas. I know the budget is a placeholder, but do we have any idea when the actual allocation numbers will be available?
- **Kathy Manning, OJJDP** - This is Kathy. I don't know. As many of you have experienced for several years now, typically, when you get the award is when you find out what your amount is. Unfortunately, I wouldn't anticipate otherwise. As many of you are experiencing now, we've been started reaching out requesting your budgets for your FY19 award that you got this fall. I wouldn't anticipate that we would be asking you for your real budgets for this award anytime soon.
- **Brock Landwehr, Kansas** – Okay, thank you.
- **Kathy Manning, OJJDP** – There was somebody else who was trying to ask a question at the same time. I want to make sure we save space for her, but I'm not sure who it was.
- **Trista Deame, New York** –It was Trista from New York again. You mentioned the RED call is scheduled for the first week in January. Did the notice go out? Did I just miss it or...?
- **Kathy Manning, OJJDP** – Tina , jump in if I'm incorrect, but I have it on my calendar as January 8<sup>th</sup> at 2:00 PM Eastern, which I believe is from the master schedule that went out with all the call dates and times for the year. I don't think we have sent any notification very specific to that particular call yet. But from the notice that went out with the call schedule for the year, Tina, correct me if I'm wrong, but I have it as January 8<sup>th</sup>.
- **Tina Borner, OJJDP** – No, Kathy, you are correct.
- **Trista Deame, New York** – I had that January 8th call my calendar, too, but it designated as a JJ Specialist Call.
- **Kathy Manning, OJJDP** – Oh, I have it down as a DMC call.
- **TeNeane Bradford, OJJDP** - We'll issue a correction. We'll also try to get it added to the website. For those who joined, or are not sure, or for any type of correction that's needed, we'll also have that posted if we can get it in the next quarter, and then we'll get the corrected listserv out.
- **Trista Deame, New York** – That sounds great. Thank you.
- **Kathy Manning, OJJDP** – Any other questions about Category 1 or the solicitation?
- **Ocie Hunter Jr., Arkansas** - This is Ocie Hunter from Arkansas. My question is with Category 1, what would be the turnaround of us knowing if everything is okay? Because I know you guys said the only people that receive letters are people that are not eligible. So, when would that turnaround be so we can start on Category 2?
- **Kathy Manning, OJJDP** - I think we anticipate around March 20th is when ineligibility letters would be sent. I'm being a little fluid just because we have to work out the mechanics of whether we have to talk to states about any of the Category 1 materials, and then return it back to you in GMS. But we will be working with you. We will be in contact with you but would anticipate ineligibility letters around March 20th. Any other questions? Great.

## Closing

### **Kathy Manning, State Program Manager, OJJDP, SRAD**

Well, with that, again, as a reminder, this call has been recorded so there will be the ability to go back and listen to the replay later. Notes are being transcribed. Both the recording and the notes from the call will be available after the holidays. We're getting awfully close to the wire here. We anticipate some of you all are getting ready to clean off your desks. We will be providing that information early in the new year. In the meantime, don't hesitate to reach out to your Program Manager if you have questions, and stay tuned for when we will be establishing the Category 2 call. And with that, I think I'll turn it back to TeNeane for any closing remarks.

**TeNeane Bradford, Associate Administrator, OJJDP, SRAD**

Thanks, Kathy, Julie, always a great job. Thank you for participating. To our state partners, thank you for participating kind of late in the game. We know this is a time where you typically are winding down. There are two follow-ups that I want to make sure we commit to. One, cross-checking the call schedule, and making sure that it's accurate, and getting that posted, and getting reminders out in a timely manner. And then also making sure that any dates that, in regards to RED webinars or Category 2 webinars, you get that information as soon as possible. Unless there are any other questions or concerns, certainly always know that you can reach out to your Program Managers. If you are having some challenges and you want to reach out to me, it may take me a couple of days, you guys know, but I certainly try to follow up and ensure that we are in connection with you about your needs. Have a wonderful holiday season.

**Kathy Manning, OJJDP** – Thanks everyone.

**Julie Herr, OJJDP** – Thank you.