

Time-Sensitive Grant Opportunities

February 17, 2021

The table below presents potentially time-sensitive grants. Given the nature of funding opportunities, this list is a “snapshot” in time and therefore cannot definitively represent all opportunities that may emerge over the coming weeks and months. Rather, this is intended to provide a synopsis of grants that have been brought to the attention of the grant coordinator from Court staff. Only the Hewlett Foundation grant is currently in progress; all other potential grants are strictly in the exploratory phase (i.e., information gathering) but warrant inclusion.

KEY

1. Anticipated Impact on AOC Resources – See Column A

Low	Medium	High	Not Enough Data
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2. Anticipated Approval Tier – See Column B

Tier 1 (Low)	Tier 2 (Medium)	Tier 3 (High)	Not Enough Data
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Note: Tiers are defined in UCA – see Exhibit A

				B		
				A	Expected Funding Type	
Project Title		Potential Funders	Amount	Timeline (status)	Federal	Non-Federal
1	<u>Appellate e-filing Implementation</u> Tier 2 justification: Grant funds are predicted to be greater than \$50k but less than \$1 million (UCA 63J-7-203) <i>Courts contact: Nick Stiles</i>	<ul style="list-style-type: none"> • State Justice Institute* • Pew Charitable Trusts • TBD 	<ul style="list-style-type: none"> • Vendor one-time integration cost (\$162,000)¹ • IT in-house one-time integration cost (\$440,000)¹ 	TBD <i>(exploratory phase)</i>	<input type="checkbox"/>	<input checked="" type="checkbox"/>

2	<u>Piloting Utah's Legal Oversight Office (Regulatory Sandbox)</u> Tier 2 justification: Grant funds are predicted to be greater than \$50k but less than \$1 million (UCA 63J-7-203) <i>Courts contact: Nick Stiles</i>	<ul style="list-style-type: none"> Hewlett Foundation 	\$250,000 ¹	Feb/Mar 2021 <i>(in progress)</i>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
3	<u>Improving Criminal Justice Responses to Domestic Violence, Dating Violence, Sexual Assault, and Stalking Grant Program</u> <i>Courts contact: Amy Hernandez</i>	<ul style="list-style-type: none"> Office on Violence Against Women (OVW) 	TBD	Application due: 3/29/21 <i>(exploratory phase)</i>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
4	<u>Criminal Justice Coordinating Council in Davis County: Funding a CJCC Coordinator</u> <i>Courts contact: TBD</i>	<ul style="list-style-type: none"> State Justice Institute* 	TBD	TBD <i>(exploratory phase)</i>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
5	<u>CARES Act Funding</u> <i>Courts contact: TBD</i>	<ul style="list-style-type: none"> Utah Bar Foundation 	TBD	TBD: Likely Feb-March '21 <i>(exploratory phase)</i>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
6	<u>Various Juvenile Justice grants</u> <i>Courts contact: TBD</i>	<ul style="list-style-type: none"> Office of Juvenile Justice and Delinquency Prevention 	TBD	TBD: multiple grants closing from March 16 th – 29 th '21 <i>(exploratory phase)</i>	<input checked="" type="checkbox"/>	<input type="checkbox"/>

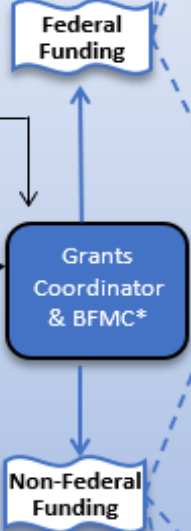
¹approximate dollar amount to be sought

*Cash match of up to 50% may be required

Exhibit A Grant Review & Approval Process

Grants with Supreme Court jurisdiction:
The Supreme Court may prioritize & authorize the pursuit of grants under their purview prior to review by BFMC and Judicial Council (Article VIII, Sections 3-4-5 of Utah Constitution)

Grants in all other Court areas:
Prior to review by Judicial Council, all grant proposals must be approved by the TCE & presiding judges in the affected districts & the court level administrator followed by approval from the appropriate Board of Judges & BFMC (CJA Rule 3-411)



Tier 1: Low Impact (UCA 63J-5-203)
Meets all of the below conditions:
≤ \$1 million per year in federal funds;
No new permanent full or part-time employees; and
No new state monies for match

Approval or rejection by Judicial Council only ¹

Report to Executive Appropriations Committee and Office of the Legislative Fiscal Analyst, and Office of Legislative Research and General Counsel ¹

Tier 2: Medium Impact (UCA 63J-5-204 1(b))
Meets any one of the below conditions:
≥ \$1 million but < \$10 million per year in federal funds; or
Require state to add more than 0 but less than 11 permanent or part-time employees; or
Require state to expend up to \$1 million per year of new state monies as match

Approval or rejection by Judicial Council ²

Review & Recommendation by Executive Appropriations Committee ²

Tier 3: High Impact (UCA 63J-5-204 1(a))
Meets any one of the below conditions:
≥ \$10 million per year in federal funds; or
Require state to add ≥ 11 permanent full or part-time employees; or
Require the state to expend > \$1 million per year in new state monies as match

Approval or rejection by Judicial Council ²

Approval or rejection by the Legislature in a general or special session within 90 days of submitting request to funding source ²

Tier 1: Low Impact (UCA 63J-7-202)
Meets all of the below conditions:
At least \$10k but no more than \$50k in non-federal funds;
No new permanent full or part-time employees; and
No new state monies required for match

Approval or rejection by Judicial Council only ³

Report to Executive Appropriations Committee and the Office of the Legislative Fiscal Analyst ³

Tier 2: Medium Impact (UCA 63J-7-203)
Meets any one of the below conditions:
> \$50k but < \$1 million per year in non-federal funds; or
Require the state to add more than 0 but less than 11 permanent full or part-time employees; or
Require the state to expend \$1 to \$1 million of new state monies in a fiscal year as match

Approval or rejection by Judicial Council ⁴

Review & Recommendation by Executive Appropriations Committee ⁴

Tier 3: High Impact (UCA 63J-7-203)
Meets any one of the below conditions:
≥ \$1 million per year in non-federal funds; or
Require the state to add 11 or more permanent full or part-time employees; or
Require the state to expend > \$1 million per year in new state monies as match

Approval or rejection by Judicial Council ⁴

Approval or rejection by the Legislature in a general or special session within 90 days of submitting request to funding source ⁴

1. UCA 63J-5-203
2. UCA 63J-5-204
3. UCA 63J-7-202
4. UCA 63J-7-203

⌘ = Courts may accept funds

*Proposal will be evaluated for impacts to AOC resources and according to established criteria 1-3 in CJA 3-411

Internal Grants Review
Status Update and Preliminary Findings
February 17, 2021

Note: This report serves only as an update of work-to-date. It is not a final report.

Executive Summary

- The purpose of this project is to provide a self-assessment of grant compliance covering a review period of 1/1/2016 through 12/31/2020 (5 years).
- Assessment is underway to document compliance with external grantor requirements and internal grant rules and policies (“Controls”)
- A standardized rubric (Exhibit A) has been devised to generate compliance scores for grants with all information available at the time of assessment.
- Findings to date include suspected absence of Judicial Council review for ongoing federal formula grants.
- Recommendations include clarifying the role of the Judicial Council concerning renewal applications of ongoing federal formula grants and potentially ratifying any Judicial Council approvals which were missed.

1. Purpose & Scope

This internal self-assessment of all grants awarded to the Utah Courts in the previous five years seeks to retrospectively verify compliance with internal Controls (e.g., Judicial Council review) and external grantor requirements (e.g., quarterly reporting obligations). The review period encompasses grants awarded to the Utah Courts beginning January 1st 2016 through December 31st 2020.

The objectives of this self-assessment are to:

- a. conduct quality assurance and provide confidence that the Utah Courts are in good standing with external grant partners and maintaining fidelity with internal Controls;
- b. identify any areas where compliance was not met or partially met; and
- c. provide recommendations addressing any compliance findings as well as consideration of updates to the Utah Courts’ internal Controls which would serve to enhance grant governance.

2. Approach & Documentation

Compliance is being assessed for both internal Controls (including rules and policies) and external grantor requirements. As requirements vary for each individual grant, a unique table is being generated for each distinct grant award which includes the (1) grant title, (2) active grant years, (3) compliance items, (4) compliance status, and (5) notes describing any findings. Compliance items

will be stratified by calendar year beginning with 2020. Compliance status will be designated as “met,” “partially met,” or “not met” and a standardized cumulative score will be generated for each grant (Exhibit A).

3. *Preliminary Findings to Date*

Review of previous years is still underway. As of the current date one finding has been identified:

- Background: The Utah Office for Victims of Crime (UOVC) is the state agency appointed by the Governor to administer federal funding for the STOP Violence Against Women Act (VAWA) formula grant and Victims of Crime Act (VOCA). These are non-competitive federal dollars awarded to all U.S. states and territories from the DOJ. The funding year-to-year from this source is not “new” but as ongoing grant awards from UOVC, court programs periodically reapply for funding and must abide by reporting, audit, and financial requirements.
- Finding category: Internal controls and procedures.
- Finding description: At this time, it cannot be ascertained when, or if, the Judicial Council has provided annual review and approval for the acceptance of these funds. It is unclear whether ongoing formula grant funding requires annual review by the Judicial Council by judicial rule, or if these funds may be accepted with oversight/signature authority from the State Court Administrator.

4. *Recommendations*

Recommendation #1: It is respectfully suggested that the BFMC/Judicial Council consider and discuss the degree of oversight necessary for ongoing federal formula grants. Should programs seek approval for these funds each time a renewal is upcoming?

Recommendation #2: UCJA 3-411 (grant governance) should be revised to specify the internal review process for renewals of ongoing formula grants. This should be completed only after the BFMC/Judicial Council has established their preferred process resulting from recommendation #1 above.

Recommendation #3: Determine how to address the issue of retroactive approval for renewals of past formula grants.

EXHIBIT A

Compliance Scoring Rubric

3 = “Met”	2 = “Partially Met”	1 = “Not Met”
<i>Definition: Compliance met and verified. Associated supporting documentation is accurate and has been maintained according to retention policies.</i>	<i>Definition: Full compliance not achieved (e.g., documentation may be present but incomplete); see Notes column for specific description.</i>	<i>Definition: Compliance finding identified. Does not meet criteria for partial compliance. See Notes column for specific description.</i>
Cumulative Compliance Score Value (sum of scores / number of compliance items assessed)		
(3)	(2.5)	(2)
(1.5)	(1)	

Strong ----- *Moderate* ----- *Poor*