

2.5 Technical Assistance and 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

The purpose is to provide an overview of available technical assistance and the compliance procedures for entities funded under Community Corrections & Justice Reinvestment Grant Funding.

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Overview

The grant-funded entity is responsible for ensuring that they are following the Executed Grant Contract, IDOC procedural bulletins, statutes, and administrative rules. [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.



IDOC Community Corrections Division

However, the IDOC Community Corrections Division is readily available to provide technical assistance to any grant-funded entity upon request from the entity or the Advisory Board. If the technical assistance request falls outside the scope of the IDOC Community Corrections & Justice Reinvestment grant, the IDOC Community Corrections Division may redirect the entity to the appropriate source.

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 through technical assistance or programmatic corrective action.

Technical Assistance

Technical Assistance is a collaborative effort provided by all members of the division to support grantees in understanding Grant Award and Subaward requirements. It also helps identify and monitor high-risk problem areas, which inform the development of targeted assistance and training.

A **Technical Assistance Plan (TAP)** may be created jointly by the grant entity and the assigned IDOC Program Director to outline actionable steps toward achieving goals and resolving concerns. These plans include specific tasks for both entity and division staff, each with set deadlines to ensure accountability and impact. Plans are adaptable and may be revised as needed to best support the grantee's progress.

Examples:

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

Corrective Action

Corrective Action is a structured and systematic approach used to address instances where an entity fails to comply with established guidelines, policies, or regulations. It aims to identify the root cause of non-compliance, implement targeted remedies, and prevent future occurrences—ultimately promoting accountability and continuous improvement.

To operationalize this approach, a **Corrective Action Plan (CAP)** will be developed by the division staff. This plan outlines specific steps to achieve defined goals and resolve areas of concern. It may include action items assigned to both entity staff and division staff, each with clearly defined deadlines to ensure timely follow-up and measurable impact.

Corrective Action Plans are dynamic documents and may be modified as needed to best support the entity's progress. For oversight and alignment with established standards, all proposed CAPs must be reviewed and approved by the **Community Corrections Advisory Board**.

Areas for Technical Assistance and/or Corrective Action

Technical assistance and corrective action may be provided in person, via video conference, via email, or by telephone. The division staff member (s) involved will decide how best to address the question(s) and/or concern(s) of the grant-funded entity.

Areas for technical assistance can include (but are not limited to):

- Use of Evidence-Based Practices and Programming
 - Quality Assurance Improvement/ Implementation
 - Program Evaluation Techniques
 - Low/No-Cost EBP Implementation Ideas
- Policy Review/Creation
- Data Reporting Requirements and Methodologies
- Account Set-up for Grant Funds
- Monthly Financial Reports
- Requesting an Additional Appropriation/Transfer of Funds
- Collaboration Plans
- Grant Application/ Good Grants Troubleshooting
- Correctional Program Checklist (CPC) and Correctional Program Checklist – Community Supervision Assessment (CPC-CSA) Preparation & Recommendations
- Residential Facility Site Visitations
- Executed Grant Contract Requirements
- Other Areas as Identified

Contract Non-Compliance

When contract non-compliance is being addressed and an entity fails to meet the goals outlined in the **CAP**, a **Contract Non-Compliance Plan (NCP)** shall be created by division staff in conjunction with the grant-funded entity to address deficiencies identified. Action items outlined in the **NCP** will assist the grant-funded entity in becoming compliant with the grant contract requirements.

If a **NCP** is deemed unsuccessful by a division 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 Operations. 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 the **NCP** has 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 the entity's primary contact.



The purpose of the hearing will be to ascertain whether grant contract compliance has been achieved since the notice was received.

4. The following consequences may be imposed as a result of confirmed Contract Non-Compliance:
 - a. Alternative solutions to achieve compliance may be proposed by the IDOC Commissioner.
 - b. Financial aid may be suspended by the IDOC Commissioner until compliance is achieved.
 - c. An investigation may be conducted by the 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.
 - d. Grant funding may be terminated.
5. To return to Contract Compliance status, the IDOC Community Corrections Division must verify that corrective action was 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.

Contract Non-Compliance Outcomes

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