

**Part VI:
Maintain the
Technology**

*“Technology makes it possible for people to
gain control over everything, except over
technology.”*

— John Tudor



CHAPTER 18
ENSURE THE SUCCESS OF YOUR
TECHNOLOGY INITIATIVE: ONGOING TASKS

Chapter 18:

Ensure the Success of Your Technology Initiative: Ongoing Tasks

- What** A *process* to ensure that your agency's new technology is maintained, its upgrades and enhancements are planned, and that your staff continues to get the most out of the new system.
- Why** Technology projects fail when a system is implemented, then neglected.
- Who** The Project Manager is responsible for keeping the technology initiative and related issues in front of the decisionmaking structure.
- When** At the conclusion of the project's implementation phase (shortly after Project Closeout).

Remember in "Seven Facts You Should Know," (Fact #3, page 13 to be exact) we told you that IT planning was a cyclical process. We said, "The successful implementation of a system does not signal the end of the planning process. Systems implementation really signals the *beginning* of a new phase of evaluating the recently adopted system and planning for systems maintenance, upgrade, enhancement and replacement." To maintain this process, follow the retrospective and recurring tasks presented in this chapter to ensure the post-implementation success of your technology initiative.

The roles of project participants do not evaporate once the technology "goes live." The Project Team must continue to meet on a regular basis (albeit far less frequently), to conduct retrospective project reviews, prepare for technology enhancements and manage support/warranty issues. In terms of frequency, most project management committees continue to meet on a quarterly basis during the first year following the system's "live date," and semiannually in the years that follow.

Project Closeout Tasks

Marking the conclusion of your technology project's implementation phase is a task called Project Closeout, which is the appropriate time to undertake the following "retrospective tasks":

- **Reassignment:** Reassign or release Project Team members to other projects (or previous assignments) as their full-time tasks are completed.
- **Project Post-evaluation:** A thorough review, spearheaded by the Project Manager, which seeks to confirm that all project tasks have been accomplished. This task requires an examination of the Project Plan and its details, including time, costs and vendor deliverables.
- **Vendor Transition Meeting:** A meeting between your agency's Project Team and the vendor representatives to review any issues that may arise from the project post-evaluation review and also to discuss warranty/maintenance responsibilities.
- **Post-project Meeting:** Like the Kick-off Meeting, this gathering invites all project participants to a large-scale discussion that focuses on project review, accomplishments, challenges and next steps. Usually, the Executive Sponsor recognizes and rewards team members for their achievements.
- **Final Report Preparation:** Prepare a final report that includes the project's final schedule, costs and quality results, as well as comparisons to the baseline, explanations and implications for the future. The report should include:
 - A comparison of actual costs to projected costs.
 - A summary of "lessons learned" for future technology projects.
 - The signatures of Project Team members, which indicate internal acceptance of the technology.

The 70/30 Rule

"One should consider the Total Cost of Ownership (TCO) when purchasing computer systems. Only 30 percent of the total cost of owning a computer system is the initial purchase of the hardware, software and peripherals. Seventy percent of the ownership cost goes to technical support, repairs, training and upgrades."

— From "Technology Budgeting Basics," by John Kenyon (www.techsoup.org)

Although Project Closeout signals the end of the implementation, the project doesn't stop there!

Checklist of Recurring Tasks



Given the broad range of issues that need to be addressed following Project Closeout, we offer this checklist of recurring tasks related to your project:

-  **Keep the decisionmaking structure and committees intact.** The main committees formed in the decisionmaking structure should continue to meet on a regular basis to discuss the project. These committees may be dynamic, with representatives changing over time based on responsibilities or changes in personnel, but they nevertheless must continue to actively monitor the technology initiative. The important recommendation here is that representatives from the executive, operational and technical levels continue to play a role in the governance of the initiative.
-  **Actively use the communications plan.** Keep open lines of communication with all users and stakeholders about the technology initiative. This will keep the interest alive in the technology and signal to users that the agency is interested in (and committed to) making sure the technology is used properly and meets user needs.
-  **Continuously monitor and document project activities, issues and user satisfaction.** Continue to journal all project activities and issues (successes as well as problems) and give users an opportunity to express their feelings about the technology and suggest enhancements or changes. User feedback can be obtained by inviting user groups to speak at project meetings or via suggestion boxes (electronic or otherwise).
-  **Do not “shelve” the Project Plan.** Too often Project Plans get relegated to the library where they merely gather dust. The Project Plan really is a living document and should be treated as such. We’ve yet to see a project that accomplishes every single feature or function originally envisioned in the initial project plan. It is common that some features, goals or objectives must be sacrificed due to budget, policy reasons or some other factor. But these are important considerations for enhancements or next phases of the project. The plan is also an important mechanism for benchmarking performance to make sure the system is meeting anticipated goals and objectives. Review it now and again for a refresher.
-  **Review your contract. *Again!*** Why should you continue to read contract legalese (other than for its stimulating nature)? Because failure to review the contract may mean that important and required tasks don’t get done! There have been too many instances where agencies have put away the contract and failed to realize that important conditions have not yet been met. Some agencies have even gone to the extent of preparing a new fiscal year budget for “enhancements” that were really

part of the original contract! Take it out every now and then, brush off the dust, and give it a good read. You may be surprised at what you find!

Revise your recurring costs budget and prepare for technology upgrade, replacements and enhancements. We talked about lifecycle planning throughout the Tech Guide. The “lifecycle” also applies to budgeting. Now that the technology is operating in a live environment, you may have even more concrete ideas about the type of recurring costs you will have. Review the budget you created in Chapter 11 and update the recurring costs based on the existing contract.

Assess how your IT staff is handling support of the new system. Spend a good deal of time with your agency and your parent organization’s IT support staff to determine if the staffing levels and staff expertise are adequate for system support. You may find that you need new skill sets or additional support staff. Also, take into consideration the project’s next phases and whether you will be increasing equipment roll out (e.g., purchasing more mobile computers to deploy in the field may mean that more support staff will be required).

Remember that training should not be a one-time activity! Plan and budget for continued training for users. Solicit feedback from users at all levels about what types of additional or refresher training they need. This should be a budget item each year.

Complete the “lessons learned” document. You’ll want to make sure that you finalize the lessons learned document we discussed in Chapter 13, page 162. This will be an important learning tool for future technology initiatives about what worked and what didn’t.

In summary:
Don’t forget the system lifecycle!





CHAPTER 19
GRANT MANAGEMENT AND COMPLIANCE

Chapter 19:

Grant Management and Compliance

- What** Undertaking the proper *steps* to ensure that your agency is complying with the conditions of a grant.
- Why** Because the granting agency requires compliance and failing to do so may result in the withdrawal of grant funds.
- Who** Agency grant managers, finance employees and others, depending on the type of grant received.
- When** As soon as a grant award is received.

Many police agencies fund their technology initiatives, in whole or in part, with local, State or Federal grants. By accepting the grant, agencies are expected to comply with various conditions, including grant compliance, monitoring and proper financial accounting. This chapter will address the planning steps necessary to prepare an agency for the complexity of achieving grant compliance in a technology initiative.

Recognizing that there are dozens of grant programs available to law enforcement agencies, this chapter does not attempt to guide agencies through the complexity of any individual grant program. Rather, it attempts to identify some common threads of grant management.

Congratulations! The majority of police agencies are thrilled upon notification that they have received a grant award. The supplemental funds offered to police agencies by local, State and Federal granting agencies can be the “make it or break it” factor in many technology initiatives.

Now, manage it! Accepting a grant award is rarely condition-free. Most grants are directly linked to objectives, such as addressing a particular social issue or redeploying officers from reporting activities to street patrol or other community-oriented policing activities, as directed by the granting agency. Consequently, there are usually conditions that must be met as a term of using the funds, often referred to as program-related requirements.

In addition to program compliance, there are also financial and reporting compliance issues that your agency must address. By accepting a grant, your agency must agree to the requirements that are identified in the grant award package. Usually, these conditions are based on grant compliance mandates set forth by the U.S. Office of Management and Budget (OMB). Because the Federal government distributes more grants than any other entity, many State and local agencies defer to the OMB guidelines as a de facto standard.

In addition to the OMB guidelines, there are often additional program-specific conditions that must be upheld. For example, MORE technology grantees also must subscribe to these Federal regulations regarding the implementation of grant-funded technology/equipment:

- 28 CFR 23, Criminal Intelligence Systems Operating Policies
and these sections of Part 66, the Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments:
- 28 CFR 66.36, Procurement
- 28 CFR 66.32, Equipment



The OMB provides published standards that dictate how Federal grants are to be managed. See

<http://www.whitehouse.gov/omb/grants/>

Access Federal regulations online at

<http://www.access.gpo.gov/nara/cfr/cfr-retrieve.html#page1>

Also, refer to the “Grantee Toolbox” section of the COPS Office Website for grant compliance information: http://www.usdoj.gov/cops/toolbox/grant_programs/more/default.htm

Manage Your Grant

While managing grant requirements is not difficult, it does represent a new set of responsibilities that may be foreign to many law enforcement personnel. Like most topics covered in this Guide, pre-planning will go a long way toward better grant management.

Start planning early in the process. Shortly after submitting a grant application, the agency should determine who will be responsible for managing the various elements of the grant, should it be awarded.

We suggest that your agency assign two people to manage the two areas of a grant: one to manage and be accountable for the program requirements, and a second for the fiscal/reporting requirements. Based on our experience, successful grant management is most often achieved when the law enforcement agency and the parent organization’s finance division work in concert on managing the grant. For example, the agency focuses on the program requirements, while the City/County finance representative assumes responsibility for the fiscal/reporting requirements.

Should the grant be awarded, a grantee award package will likely be included, which will illustrate all of the grant’s program, financial and reporting requirements. Both representatives should carefully review the requirements and determine who is responsible for overseeing the various aspects of the grant.

The grant conditions should be provided to the Steering Committee to ensure that program requirements become project objectives. Additionally, Steering Committee

oversight in grant-funded technology initiatives adds an additional layer of responsibility, which can help to ensure that the project ultimately fulfills the grant requirements.

From that point on, the respective parties simply execute their responsibilities to the grant. Typically, managing the grant includes the following activities:

- Preparing quarterly or semiannual financial status reports.
- Preparing annual program status reports.
- Occasional visits from the granting agency.
- Financial audits (depending on grant amount).
- General project oversight to ensure grant compliance.
- Organizing all grant-related documents.

To ensure proper organization and maintenance, we suggest that agencies create and maintain a grant filing cabinet that contains the following folders:

File 1:
Application and
“pre-award” data

File 2:
A journal of all
correspondence
(internal and external)
related to the grant

File 3:
Official award
documents from
the granting agency



File 4:
All grant application
corrections and adjustments

File 5:
A log of all financial status
reports (mandatory quarterly
or semiannual reports submit-
ted to the granting agency that
identify how the grant money
was utilized, when it was drawn
down and other financial data)

File 6:
All supporting data related
to the grant

Grant management underscores the importance of setting realistic objectives and building in useful measurement procedures to demonstrate the impact and effectiveness of your project. Be sure to plan effectively by:

- proposing realistic, measurable and accomplishable objectives (which are written into your grant application), and
- developing adequate procedures for constantly measuring and reporting on these objectives.

Top 5 Grant-related Blunders



During our research for the Guide, we encountered MANY grant-related mistakes, but the following warrant mention as the Top 5 Grant-related Blunders:

1. *“We found out that we had a grant a month before it was set to expire, so we paid our vendor the entire grant amount up front.”*

Readers may be surprised by how many times this has occurred. If you need more time to expend the grant funds, call your Grant Program Specialist and ask for an extension!

2. *“After we accepted our grant, we drew down the whole amount at once so we could collect interest on it.”*

Oops! Granting agencies generally do not allow agencies to collect interest on the grant funds they receive. In this case, the agency was forced to pay back the earned interest.

3. *“After we got the grant, the City was able to take back the money budgeted for the new CAD and use it for overtime shortfalls.”*

The idea of replacing budgeted money with newfound grant money is known as “supplanting” and it is **forbidden by virtually all grant programs**. See Chapter 11, page 145.

4. *“When we found out our Grant Program Specialist was conducting a site visit, we called our City Attorney and asked him to represent us.”*

The Grant Program Specialist is your friend, not an enemy to be shielded against. Grant Program Specialists are knowledgeable allies whose mission is to ensure your success, so welcome their arrival and ask them for help whenever warranted!

5. *“After getting the grant and beginning implementation, we changed our objectives, altered our Project Plan and didn’t buy the technology originally planned.”*

A definite issue here! Remember, if you make changes to your grant application, they have to be approved in writing by the granting agency **before** you implement the change. In some cases, using grant funds for purposes other than those approved by the granting agency can result in civil and criminal prosecution, or at a minimum the return of grant funds.

Who Can Help?

If you should ever find yourself confronting problems with a grant, remember just one thing: CALL YOUR GRANT PROGRAM SPECIALIST! During our research, we found literally dozens of agencies that believed that their Grant Program Specialist was an auditor who would immediately “turn them in” if they were to place a call asking for help. Nothing could be further from the truth!

Grant Program Specialists have a shared interest in the successful completion of your project and can often solve problems directly over the phone. They can also send you copies of your grant application or other documents you may have misplaced. For more complex issues, they can work with the agency over time to reach a resolution.



State and Federal grant funding plays a critical role in providing necessary “seed monies” for many technology issues. Grants are often a one-time deal, however, so you must identify other State and local funding streams that will help provide ongoing support, enhancement and upgrade for your technology initiatives. Your annual budget must contain funding for technology and its support. Therefore, agency directors, City and County leaders, legislators and other funding decisionmakers must be educated on the need to fund technology on an ongoing and continuous basis.

PART VI ASSIGNMENTS

EXECUTIVE SPONSOR

- Role**
1. Ultimate decisionmaker
 2. Provide oversight and guidance

- Maintain the Technology Tasks**
1. Attend Post-project meeting; recognize/reward team members (Chapter 18, page 230)
 2. Make decisions regarding maintenance, upgrade and enhancement of the technology initiative, as well as replacement issues (Chapter 18, page 231)
 3. Sign off on all grants and meet with visitors from granting agency (Chapter 19)

STEERING COMMITTEE

- Role**
1. Reallocate resources
 2. Provide input, make decisions and present recommendations to Executive Sponsor
 3. Actively monitor the technology initiative
 4. Provide oversight of grants

- Maintain the Technology Tasks**
1. Reassign/release Project Team members to other projects (Chapter 18, page 230)
 2. Attend/participate in project closeout meetings and tasks (Chapter 18, page 230)
 3. Continue to meet regularly to discuss issues and make recommendations related to technology maintenance, upgrade, enhancement and replacement (Chapter 18, page 231)
 4. With input of Project Manager and committees, make and approve changes to Project Plan and other documents (Chapter 18, page 231)
 5. Revise recurring costs budget and plan for the next round of funding (Chapter 18, page 232)
 6. Provide grant oversight: review program requirements in grants to ensure they become project objectives, and ensure the technology project fulfills the grant requirements (Chapter 19, page 236)

PART VI ASSIGNMENTS, CONTINUED

PROJECT MANAGER

- Role**
1. Coordinate and oversee all tasks and activities
 2. Report to decisionmakers and liaison with technical and operational experts
 3. Stay involved with grant management and compliance

- Maintain the Technology Tasks**
1. Organize and lead Project Post-evaluation, Vendor Transition Meeting and Post-project Meeting (Chapter 18, page 230)
 2. Prepare project's Final Report, submit to Project Team for acceptance/signatures (Chapter 18, page 230)
 3. Participate in ongoing committee/project meetings (Chapter 18, page 231)
 4. Report regularly to Steering Committee and Executive Sponsor regarding system performance, maintenance, upgrade, enhancement and replacement issues (Chapter 18, page 231)
 5. Continue to report to public regarding status of technology initiative (Chapter 18, page 231)
 6. Work with Technical and Operational Committees to monitor technology initiative and document project activities and issues (Chapter 18, page 231)
 7. Work with Steering Committee regarding reviews and updates to the Project Plan and other documents (Chapter 18, page 231)
 8. Monitor vendor agreement periodically to ensure that important and required tasks are completed (Chapter 18, page 231)
 9. Assess adequacy of staffing levels and determine whether new skill sets or additional support staff are needed (Chapter 18, page 232)
 10. Oversee provision of continual user training (Chapter 18, page 232)
 11. Prepare and disseminate the "lessons learned" document (Chapter 18, page 232)

PART VI ASSIGNMENTS, CONTINUED

PROJECT MANAGER (CONTINUED)

12. For grant management and compliance, assist in preparation of financial status reports and program status reports; meet with granting agency staff; and report to Steering Committee regarding grant compliance issues (Chapter 19, page 237)

TECHNICAL COMMITTEE

- | | |
|--------------------------------------|--|
| Role | 1. Provide input |
| Maintain the Technology Tasks | <ol style="list-style-type: none"> 1. Attend/participate in project closeout meetings and tasks (Chapter 18, page 230) 2. Continue to meet regularly to discuss issues related to technology functionality and performance, maintenance, upgrade, enhancement and replacement (Chapter 18, page 231) 3. Document project activities and issues; provide to Project Manager (Chapter 18, page 231) 4. Advise Project Manager regarding adequacy of staffing levels and staff expertise (Chapter 18, page 232) |

USER COMMITTEE

- | | |
|--------------------------------------|--|
| Role | 1. Provide input |
| Maintain the Technology Tasks | <ol style="list-style-type: none"> 1. Attend/participate in project closeout meetings and tasks (Chapter 18, page 232) 2. Continue to meet regularly to discuss issues related to technology functionality and performance, maintenance, upgrade, enhancement and replacement (Chapter 18, page 231) 3. Document project activities and issues; provide to Project Manager (Chapter 18, page 231) 4. Advise Project Manager regarding adequacy of staffing levels and staff expertise (Chapter 18, page 232) |

PART VI ASSIGNMENTS, CONTINUED

GRANT MANAGEMENT/COMPLIANCE STAFF

- Role**
1. Ensure the agency is meeting its local, State or Federal grant conditions
 2. Inform Project Manager and Steering Committee
 3. Keep comprehensive/complete documentation related to grants

- Maintain the Technology Tasks**
1. Follow the steps to assure grants are properly managed and the agency is in compliance with program, fiscal and reporting requirements (Chapter 19, page 236)
 2. Regularly inform the Project Manager and Steering Committee of grant and compliance issues (Chapter 19, page 236)
 3. Prepare financial status reports and program status reports and oversee financial audits (Chapter 19, page 237)
 4. Organize and maintain all grant-related documents (Chapter 19, page 237)
 5. Identify various funding streams and inform decisionmakers (Chapter 19, page 239)