

GRANT MANUAL

PAUL COVERDELL FORENSIC SCIENCE IMPROVEMENT GRANTS PROGRAM



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Grant Manual
Paul Coverdell Forensic Science Improvement Grants Program

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FOREWORD

This manual is for recipients of the Paul Coverdell Forensic Science Improvement Grants Program from the National Institute of Justice (NIJ), Office of Justice Programs, U.S. Department of Justice. The Hawaii Department of the Attorney General is the State Administering Agency (SAA) for the grant.

The purpose of this manual is to provide:

- Information on the policies and procedures for projects funded with Coverdell program funds, and
- Information on the fiscal, program, and reporting responsibilities of the Grantee.

The National Institute of Justice (NIJ), Office of Justice Programs, U.S. Department of Justice, has published program policy and administrative guidance for implementation of the formula grant program. This manual incorporates NIJ guidance and describes state procedures and requirements for administering the funds.

Units of state and local governments (Grantees) are advised to study the complete manual. Since not all pertinent information can be furnished in a manual such as this, Grantee should consult their assigned specialist at the Grants and Planning Branch, Crime Prevention and Justice Assistance Division for answers to questions not specifically or adequately covered by this manual.

SECTION I. BACKGROUND INFORMATION

A. STATUTORY AUTHORITY

The statutory authority for the guidance of the program is the:

- Title I of the Omnibus Crime Control and Safe Streets Act of 1968, Part BB, codified at 42 U.S.C. § 3797j-3797o (the Coverdell law).

B. PURPOSE OF FORMULA GRANT FUNDS

The purpose of the Paul Coverdell Forensic Science Improvement Grants Program is to improve the quality and timeliness of forensic science and medical examiner services, including services provided by laboratories operated by states and/or units of local government. Among other things, funds may be used to eliminate a backlog in the analysis of forensic evidence* and to train and employ forensic laboratory personnel to eliminate such a backlog. Each state is responsible for developing its strategy in accordance with these purposes.

A state or unit of local government that receives a Coverdell grant must use the grant for one or more of these three purposes:

1. To carry out all or a substantial part of a program intended to improve the quality and timeliness of forensic science or medical examiner services in the state, including those services provided by laboratories operated by the state and those operated by units of local government within the state.
2. To eliminate a backlog in the analysis of forensic science evidence, including, among other things, a backlog with respect to firearms examination, latent prints, toxicology, controlled substances, forensic pathology, questioned documents, and trace evidence.
3. To train, assist, and employ forensic laboratory personnel as needed to eliminate such backlog.

*A backlog in the analysis of forensic science evidence exists if forensic evidence has been stored in a laboratory, medical examiner's office, coroner's office, law enforcement storage facility, or medical facility and has not been subjected to all appropriate forensic testing because of lack of resources or personnel.

C. ELIGIBLE APPLICANTS

State and county agencies are eligible to receive grants from a participating state. Government agencies may contract with another organization or agency to carry out all or part of the approved program with prior approval of the Department of the Attorney General, Crime Prevention and Justice Assistance Division (CPJAD).

As a requirement to receiving the Coverdell funds, Grantee must be registered with the System for Award Management (SAM) and maintain active status throughout the

duration of the project period. Grantee must also have a valid Data Universal Numbering System (DUNS) number.

D. FUNDING

Base Funds for States: Seventy-five percent of the available funds are allocated among eligible states based on population. Minimum awards to states are determined by Coverdell law, which sets a floor for the total amount an eligible applicant state will receive as its Coverdell grant.

Competitive Funds for States and Units of Local Government: Twenty-five percent of the available funds are allocated among states and units of local government through a competitive process. The average annual number of Part 1 violent crimes reported by each state to the Federal Bureau of Investigation for the three previous calendar years; existing resources; and current needs of potential Grantees are considerations in award decisions.

There is no match requirement for Coverdell funds.

CPJAD uses an in-house review process to select applications for Coverdell funding, which includes the Criminal Justice Planning Specialists, Grants and Planning Branch Chief, and CPJAD Administrator. Applications are scored on a set of eligibility requirements. The application(s) with the highest score is selected for the first round of funding. If more funding becomes available, the application with the next highest score is selected, and so on.

SECTION II. REVIEW AND AWARD PROCEDURES

APPLICATION TO CONTRACT FLOWCHART

1. Coverdell application is released.
2. CPJAD releases solicitation for Grantee projects to state and local government agencies.
3. Project Directors submit applications to CPJAD.
4. CPJAD completes an in-house review of applications.
 - Informally CPJAD announces the Grantee award.
5. CPJAD submits Coverdell application with Grantee program description(s).
6. Coverdell Award is received by CPJAD.
7. Grantee receives formal award letter from the Department of the Attorney General, CPJAD.
8. Application is approved by CPJAD.
 - CPJAD attaches the application marked as “Exhibit A” to the Contract. Also attached is Part IV Attachments (certifications & assurances).
9. Contracts (2 originals) are sent to the Grantee for signing.
 - The number of signatures that are required differs between state and county agencies and may take a few weeks. Monitor the contract’s whereabouts to avoid unnecessary delays.
10. Grantee returns the signed Contracts to CPJAD.
 - CPJAD forwards the contracts to the Administration Division for legal review.
11. Administration Division approves Contract to form.
12. Contract is sent to the Attorney General for signing.
13. Contract is executed.
14. CPJAD keeps a contract and the other contract is sent to the Grantee.

SECTION III. ADMINISTRATIVE AND FISCAL REQUIREMENTS

Grantee should become familiar with the administrative and fiscal conditions applicable to the Coverdell grant. Failure to comply with these conditions may result in the denial, reduction, or termination of funding. Grantee must comply with the provisions of the effective edition of the Uniform Administrative Requirements, Cost Principles, and Audit Requirements in Guidance 2 C.F.R. Part 200, and the Department of Justice “Grants Financial Guide.” Grantee may call the Office of the Chief Financial Officer (OCFO) Customer Service Center at 1-800-458-0786 for additional copies or download the Guide directly from <http://ojp.gov/financialguide/DOJ/>. OCFO periodically revises the Financial Guide and issues changes which are also available on-line.

Contact your assigned specialist if you have any questions or concerns. If you do not know the name and phone number of the assigned specialist, call CPJAD at (808) 586-1150. CPJAD assigned specialists also conduct grant orientations with first time project directors and upon request.

A. ADMINISTRATIVE CONDITIONS

All grants are subject to, and incorporate by reference, the following general conditions:

A.1.0 Project Self-Assessment

To assist with monitoring and oversight of projects, Grantee is required to complete the Project Self-Assessment form (Appendix C, AG/CPJAD #32). Upon contract execution, the assigned specialist will forward a copy of the form to the project director. The project director will have three weeks to complete and return the form to CPJAD.

A.2.0 Delayed Projects

The Grantee organization is responsible for proceeding with as little delay as possible in commencing its grant project.

If the project has not begun within 30 days following the execution of the contract, the Grantee organization shall report in writing to CPJAD the reasons for the delay, the steps being taken to initiate the project, and the anticipated starting date.

If after an additional 60 days, the project is still not operational, a further statement outlining reasons for the additional delay shall be submitted to CPJAD. The CPJAD Administrator may, at his/her discretion, determine such delay to be excessive, cancel the grant authorization, and reallocate the funds to other projects.

A.3.0 Reporting Requirements

A.3.1 Progress Reports

Six Month Progress Reports

A six month progress report shall be submitted during the entire project period to the CPJAD for the following reporting periods by the specified due dates:

| | |
|-----------------------|----------------|
| January 1 to June 30 | Due July 15 |
| July 1 to December 31 | Due January 15 |

The appropriate report form will be provided to each project by the CPJAD (Appendix C, AG/CPJAD #20 Coverdell). The report shall contain the performance metric table, which includes: (1) average number of days to process a sample at the beginning of the grant period, (2) average number of days to process a sample at the end of the grant period, (3) number of backlogged cases at the beginning of the grant period, (4) number of backlogged cases at the end of the grant period, (5) number of forensic science personnel attending training, and (6) number of medical examiner personnel attending training programs. The six month progress report shall also contain the goals and objectives for the project and the progress made towards achieving each of them, program activities to date, performance indicators that document the accomplishment of the objectives, any problems that occurred during the reporting period, and any additional information specified by the CPJAD. The progress reports should reflect activities within the reporting period.

Final Progress Report

The last Progress Report for the project shall be marked as FINAL and is due 30 days after the project has ended. This report will document all relevant project activities during the entire project period. This report should reflect the information to be collected in each of the six month progress reports as stated above. The report will also include the following: (1) a summary and assessment of the program carried out with the current project period funds, which shall include a comparison of pre-grant and post-grant forensic science capabilities; (2) the average number of days between submission of a sample to a forensic science laboratory or forensic science laboratory system in that state operated by the state or by a unit of local government and the delivery of test results to the requesting office or agency; and (3) an identification of the number and type of cases currently accepted by the forensic science laboratory or forensic science laboratory system.

A.3.2 Allegations of Serious Negligence or Misconduct Report

At the end of every year (due January 15) as well as with the Final Progress Report, an Allegations of Serious Negligence or Misconduct Report is due reporting on:

- The number and nature of any allegations of serious negligence or misconduct substantially affecting the integrity of forensic results.
- Information on the referrals of such allegations.

- The outcome of such referrals (if known as of the date of the report).
- If any such allegations were not referred, the reason(s) for the non-referral.

A.4.0 Project Activities

Grantee must complete all project activities during the project period. The project's start and end dates are listed on the Application for Grant, Part. I. Title Page.

Project activities are often supported by employees paid by the grant-funded project and/or by purchases of services, supplies, and equipment that are approved by CPJAD. An obligation occurs when grant funds are encumbered, such as in a valid purchase order or requisition to cover the cost of purchasing an authorized item on or after the project start date but not later than the project end date. All obligations must be liquidated within 60 days after the end of the project.

A.5.0 Project Supplies and Equipment Inventory/Title to Property

The Omnibus Crime Control and Safe Streets Act of 1968, as amended, 42 U.S.C. §3789, et seq., Section 808, requires that the title to all equipment and supplies purchased with funds made available under the Crime Control Act shall vest in the criminal justice agency or nonprofit organization that purchased the property, if it provides written certification to the state office that it will use the property for criminal justice purposes. If such written certification is not made, title to the property shall vest in the state office, which shall seek to have the equipment and supplies used for criminal justice purposes elsewhere in the state prior to using it or disposing of it in any other manner.

An inventory of equipment and supplies purchased during the project period must be maintained. The inventory should include a list of all the equipment and unused supplies purchased, the cost, and identification numbers, as applicable. If a project has received more than one award, a cumulative inventory of equipment should be kept.

The Certification for Title to Property (Appendix C, AG/CPJAD #13) with an inventory of personal property purchased shall be submitted no later than 60 days after project end date.

A.6.0 Project Revisions

Grantee shall submit a written request to the CPJAD to revise any aspect of the project. Modifications, alterations, or changes to the project may be requested in writing by the Grantee up to 45 days before the project end date. Project revisions include, but are not limited to, extending the project period, revising the budget, revising the objectives, or changing the project director/fiscal officer. Project revisions are reviewed and approved by CPJAD's Grants and Planning Branch Chief. To revise the projects:

End date, the Grantee is to submit to CPJAD a written request and explanation indicating the revised end date that the project is seeking as well as a new timeline of activities.

Description (goal, objectives, activities, evaluation), the Grantee is to submit to CPJAD a written request and explanation that includes the revised Application for Grant, Part II. Description of the Project.

Budget, the Grantee is to submit to CPJAD a written request and explanation that includes the revised Application for Grant, Part III. Budget Detail and Explanation. For additional information, refer to B.8.0 Modification of Approved Budget.

Other, the Grantee is to submit to CPJAD any changes to program staff, including but not limited to the Project Director or Fiscal Officer. The request shall include the name of the new staff member, their title, and contact information (phone and email).

To increase or decrease the contracted amount, a supplemental agreement to amend the contract will be executed. If a supplemental agreement is required, then the assigned specialist will walk the Grantee through the process. All other project revisions are executed with a project grant modification notice from CPJAD. No oral modification, alteration, amendment, change or extension of any term, provision, or condition of the contract shall be permitted.

A.7.0 Press Releases, Printed Materials, Publications

Any publication (written, visual, or sound, but excluding press releases, newsletters, and issue analyses) issued by the Grantee describing programs funded in whole or in part with federal funds, shall contain the following statement acknowledging the awarding agency(ies) assistance:

“This project was supported by Award No. _____, awarded by the National Institute of Justice, Office of Justice Programs, U.S. Department of Justice through the Hawaii Department of the Attorney General. The opinions, findings and conclusions or recommendations expressed in this publication/program/exhibition are those of the author(s) and do not necessarily reflect the views of the Department of Justice or the Hawaii Department of the Attorney General.”*

(*) Grantee should contact the assigned specialist for the federal award number.

This statement shall appear on the first page of written publications. For audio and video publications, it shall be included immediately after the title of the publication in the audio or video file.

Grantee is permitted to display the official OJP logo in connection with the activities supported by the award. In this respect, the logo must appear in a separate space, apart from any other symbol or credit. The words “Funded/Funded in part by OJP” shall be printed as a legend, either below or beside the logo, each time it is displayed. Use of the logo must be approved by CPJAD.

Any written material or product intended for public release requires prior approval. Grantee must submit a publication and distribution plan to CPJAD for approval, 45 days before any materials that have been developed under an award are commercially published or distributed.

- The plan must include a description of the materials, the rationale for commercial publication and distribution, the criteria to be used in the selection of a publisher, and – to assure reasonable competition – the identification of firms that will be approached.
- Grantee must obtain prior approval from CPJAD of this plan for publishing project activities and results when it uses Federal funds to pay for the publication.

A.8.0 Monitoring Subawards

If applicable, Grantee agrees to monitor subawards under this Coverdell award in accordance with all applicable statutes, regulations, Office of Management and Budget (OMB) circulars, and guidelines, including the DOJ Grants Financial Guide. Grantee is responsible for oversight of subrecipient spending and monitoring of specific outcomes and benefits attributable to use of Coverdell funds by subrecipients. Grantee agrees to submit, upon request, documentation of its policies and procedures for monitoring of subawards under this award.

A.9.0 Assurances and Certifications

A.9.1 General Conditions

OJP requires that CPJAD pass down certain requirements and provisions to Grantees. Grantee must complete the “Acceptance of Conditions” (Appendix B, AG/CPJAD #14 Coverdell) that is attached to the contract.

A.9.2 Non-Supplanting

Federal funds may not be used to replace state or local funds that would, in the absence of federal assistance, be available or forthcoming for law enforcement and criminal justice programs. Instead, Federal funds must be used to increase the total amount of such other funds the Grantee agency uses.

Grantee may not use Federal grant funds to defray any costs that the Grantee is

already obligated to pay. For example, if a Grantee, prior to applying to participate in the grant program, had committed to purchase 10 new computers for crime analysis, then the Grantee must purchase those 10 computers in addition to any computers requested for the grant program.

Grantee must complete the “Certification of Non-Supplanting” (Appendix B, AG/CPJAD #3) that is attached to the contract.

A.9.3 Drug-Free Workplace

If Grantee is a state agency, Grantee must complete the “Certification Regarding Drug-Free Workplace Requirements” (Appendix B, AG/CPJAD #16). If applicable, the certificate is attached to the contract.

A.9.4 Debarment, Suspension, Ineligibility, and Voluntary Exclusion

Grantee must complete the “Certification Regarding Debarment, Suspension, Ineligibility, and Voluntary Exclusion Lower Tier Covered Transactions” (Appendix B, OJP Form 4061/1) that is attached to the contract.

A.9.5 Lobbying

The Anti-Lobbying Act (18 U.S.C. § 1913) was amended to expand significantly the restriction on use of appropriated funding for lobbying. This expansion also makes the anti-lobbying restrictions enforceable via large civil penalties, with civil fines between \$10,000 and \$100,000 per each individual occurrence of lobbying activity. These restrictions are in addition to the anti-lobbying and lobbying disclosure restrictions imposed by 31 U.S.C. § 1352.

Grantee must understand that no federally appropriated funding made available under OJP grant programs may be used, either directly or indirectly, to support the enactment, repeal, modification or adoption of any law, regulation, or policy, at any level of government, without the express approval by OJP. Any violation of this prohibition is subject to a minimum \$10,000 fine for each occurrence. This prohibition applies to all activity, even if currently allowed within the parameters of the existing OMB regulations.

Grantee with projects that total \$100,000 or more (per project) must complete a “Certification Regarding Lobbying.” (Appendix B, AG/CPJAD #22). If applicable, the certificate is attached to the contract.

A.9.6 Civil Rights

All organizations that receive Federal funds are subject to prohibitions against discrimination in the provision of services under a program or in their

employment practices.

a. Non-Discrimination

No person shall, on the grounds of race, religion, color, national origin, sex, disability, or age, be excluded from participation in, be denied the benefits of, be subjected to discrimination under, or denied employment in connection with any programs or activity funded in whole or in part with funds made available under this title. Grantee will comply with:

The Omnibus Crime Control and Safe Streets Act of 1968, as amended, which prohibits discrimination on the basis of race, color, national origin, religion, or sex, in OJP, COPS, and OVW funded programs or activities. (42 U.S.C. § 3789d and 28 C.F.R. §42.201 et seq.);

Title VI of the Civil Rights Act of 1964, which prohibits discrimination on the basis of race, color or national origin in OJP, COPS, and OVW funded programs or activities. (42 U.S.C. § 2000d and 28 C.F.R. §42.101 et seq.);

Section 504 of the Rehabilitation Act, which prohibits discrimination on the basis of disability in OJP, COPS, and OVW funded programs or activities. (29 U.S.C. § 794 and 28 C.F.R. § 42.501 et seq.);

Section 1407 of the Victims of Crime Act (VOCA), which prohibits discrimination on the basis of race, color, national origin, religion, sex, or disability in VOCA funded programs or activities. (42 U.S.C. § 10604);

Title II of the Americans with Disabilities Act of 1990, as it relates to discrimination on the basis of disability in OJP, COPS, and OVW funded programs or activities. (42 U.S.C. § 12132 and 28 C.F.R. Pt. 35);

Title IX of the Education Amendments of 1972, as it relates to discrimination on the basis of sex in OJP, COPS, and OVW funded training or educational programs. (20 U.S.C. § 1681 and 28 C.F.R. Pt. 54);
and

The Age Discrimination Act of 1975 as it relates to services discrimination on the basis of age in OJP, COPS, and OVW funded programs or activities. (42 U.S.C. § 6102 and 28 C.F.R. § 42.700 et seq.).

Executive Order 13166, 65 Fed. Reg. 50121(2000) and the U.S. Department of Justice, Guidance to Federal Financial Assistance Recipients Regarding Title VI Prohibition Against National Origin Discrimination Affecting Limited English Proficient Persons, 67 Fed. Reg. 41455 (2002) is the obligation that Grantees of Federal financial

assistance provide meaningful access to funded programs and activities for persons with limited English proficiency (LEP). Additional information on LEP is available on-line at www.lep.gov.

Executive Order 13279 and Executive Order 13559 regarding equal protection of the laws for faith based organizations (28 C.F.R pt. 38); The Equal Treatment Regulation provides in part that Department of Justice grant awards of funding may not be used to fund any inherently religious activities, such as worship, religious instruction, or proselytization. Grantee may still engage in inherently religious activities, but such activities must be separate in time or place from the Department of Justice funded program, and participation in such activities by individuals receiving services from the Grantee or a Sub-grantee must be voluntary. The Equal Treatment Regulation also makes clear that organizations participating in funding by the Department of Justice are not permitted to discriminate in the provision of services on the basis of a beneficiary's religion. Notwithstanding any other special condition of this award, faith-based organizations may, in some circumstances, consider religion as a basis for employment. See http://www.ojp.gov/about/ocr/equal_fbo.htm.

The Violence Against Women Reauthorization Act of 2013, Pub. L. No. 113-4, 127 Stat. 54 § 3(b)(2013) which prohibits excluding, denying benefits to, or discriminating against any person on the basis of actual or perceived race, color, religion, national origin, sex, gender identity, sexual orientation, or disability in any program or activity funded in whole or in part with funds made available through VAWA or the Office on Violence Against Women.

These grant conditions shall not be interpreted to require the imposition in Grantee programs of any percentage ratio, quota system, or other program to achieve racial balance or eliminate racial imbalance in a law enforcement agency. The Office of Justice Programs reserves the right to seek judicial enforcement to insure compliance with the foregoing conditions. Grantee must complete the "Certification of Non-Discrimination" (Appendix B, AG/CPJAD #15) that is attached to the contract.

b. Equal Employment Opportunity Plan (EEOP)

An EEOP is a comprehensive document that analyzes a Grantee's relevant labor market data, as well as the Grantee's employment practices, to identify possible barriers to the participation of women and minorities in all levels of a Grantee's workforce. Its purpose is to ensure the opportunity for full and equal participation of men and women in the workplace, regardless of race, color, or national origin.

Title 28 of the Code of Federal Regulations (CFR), § 42.301 et seq; requires that governmental Grantees of federal funds or any private entity to which federal financial assistance is extended directly or through such government or agency, which have received \$25,000 or more in grants and have 50 or more employees must formulate, implement, and maintain a written Equal Employment Opportunity Plan (EEOP).

Grantee must certify that an EEOP is not required, that an EEOP has been formulated and is on file, or that an EEOP short form has been submitted to the Office for Civil Rights (Appendix B, “EEOP Certification”, OMB Approval No. 1121-0340, Expiration Date 5/31/14). Nonprofit organizations, educational institutions, Indian tribes, or medical institutions are exempt from the EEOP requirement and should certify that the EEOP is not required. The certificate is attached to the contract.

By OJP policy, state and local Grantees must submit an EEOP Utilization Report for review to the OJP Office for Civil Rights when receiving a single award of \$500,000 or greater. This does not apply to Grantees who are exempt from the EEOP requirement.

The number of employees refers to employees within the organization’s entire workforce and not simply the number of employees within the unit directly responsible for the Coverdell funded project.

Additional information on completing an EEOP is available on-line at <http://ojp.gov/about/ocr/eeop.htm>.

c. Procedures for Processing Complaints Alleging Violations of Federal Non-Discrimination Requirements

Grantee should have a non-discrimination complaint procedure/process in place, which includes the following:

- An identified coordinator who is responsible for overseeing the complaint process,
- A procedure to ensure that beneficiaries or employees are aware that they may complain of discrimination and to whom,
- A procedure to investigate the complaint,
- A procedure to notify the Department of the Attorney General, CPJAD of the complaint, and
- A procedure to notify the Department of the Attorney General of the findings of the investigation.

Grantee must complete the “Certification of Non-Discrimination Complaint Procedures” (Appendix B, AG/CPJAD #30) that is attached to the contract.

In the event that a federal or state court or federal or state administrative agency makes a finding of discrimination after a due process hearing, on the grounds of race, color, religion, national origin, sex, age, or disability against the state or local government unit, Grantee shall forward a copy of the finding to OJP, Office for Civil Rights and CPJAD.

Any individual or group who believes that it is aggrieved by the funded agency can file a complaint with the U.S. Department of Justice, Office for Civil Rights, which investigates all individual complaints of discrimination filed against Grantees of funding from the Office of Justice Programs and its component organizations, Office on Violence Against Women, and the Community Oriented Policing Services Office. If voluntary compliance is not achieved, suspension or termination of funding may result.

A.9.7 10% De Minimis Indirect Cost Rate

The 2 CFR Part 200 Uniform Guidance allows for a 10% de minimis indirect cost rate if an agency has never received a federally approved indirect cost rate.

- The de minimis rate of 10% will be applied to the Modified Total Direct Costs (MTDC) which means all direct salaries and wages, applicable fringe benefits, materials and supplies, services, travel, and up to the first \$25,000 of each subaward (regardless of the period of performance of the subawards under the award).
- The MTDC will exclude equipment, capital expenditures, rental costs, and the portion of each subaward in excess of \$25,000. Other items will only be excluded when necessary to avoid a serious inequity in the distribution of indirect costs, and with the approval of the cognizant agency for indirect costs.
- The project costs will be consistently charged as either indirect or direct and will not be double charged or inconsistently charged as both.
- The Department of the Attorney General may perform an audit to ensure compliance with 2 CFR Part 200. If it is determined that the Grantee is inconsistently charging costs, or not in compliance with 2 CFR Part 200, it may be required to return grant funds.

If applicable, Grantee must complete the “Certification of 10% De Minimis Indirect Cost Rate” (Appendix B, AG/CPJAD #37). If applicable, the certificate is attached to the contract.

A.9.8 Coverdell Special Conditions

OJP requires that CPJAD pass down requirements and provisions related to the Coverdell grant to Grantees. Grantee must complete the “Acceptance of Paul Coverdell Forensic Science Improvement Grants Program Special Conditions” (Appendix B, AG/CPJAD # 26) that is attached to the contract.

A.9.9 Coverdell Statutory Certifications

The Coverdell law (at 42 U.S.C § 3797k) requires that a Grantee for Coverdell funds must submit (Appendix B):

1. A certification and description regarding a plan for forensic science laboratories. Each Grantee must submit a certification that the state or unit of local government has developed a plan for forensic science laboratories under a program intended to improve the quality and timeliness of forensic science or medical examiner services in the state, including such services provided by the laboratories operated by the state and those operated by units of local government within the state. Grantee must also specifically describe the manner in which the grant will be used to carry out that plan.

2. A certification regarding use of generally accepted laboratory practices. Each Grantee must submit a certification that any forensic laboratory system, medical examiner’s office, or coroner’s office in the state, including any laboratory operated by a unit of local government within the state, that will receive any portion of the grant amount (whether directly or through a subgrant) uses generally accepted laboratory practices and procedures established by accrediting organizations or appropriate certifying bodies.

3. A certification and description regarding costs of new facilities. Each Grantee must submit a certification that the amount of the grant used for the costs of any new facility constructed as part of a program to improve the quality and timeliness of forensic science or medical examiner services will not exceed certain limitations set forth in the Coverdell law at 42 U.S.C. § 3797m(c). Grantee must also specifically describe any new facility to be constructed as well as the estimated costs of the facility.

4. A certification regarding external investigations into allegations of serious negligence or misconduct. Each Grantee must submit a certification that “a government entity exists and an appropriate process is in place to conduct independent external investigations into allegations of serious negligence or misconduct substantially affecting the integrity of the forensic results committed by employees or contractors of any forensic laboratory system, medical examiner’s office, coroner’s office, law enforcement storage facility, or medical facility in the state that will receive a portion of the grant amount.”

Grantee is expected to review the requirements of each certification carefully before determining whether the certification properly may be made. Any certification that is submitted must be executed by an official who is both familiar with the requirements of the certification and authorized to make the certification on behalf of the Grantee agency.

A.9.10 Environmental Assessment

Grantee shall comply with all Federal, state, and local environmental laws and regulations applicable to the development and implementation of the activities to be funded under this award.

Environmental Assessment (EA): Grantee understands that funded activities (whether conducted by the Grantee or contractors) may require the preparation of an EA as defined by the Council on Environmental Quality's Regulations for Implementing the Procedural Provisions of the National Environmental Policy Act (NEPA), found at 40 CFR Part 1500. An EA is a concise public document that briefly provides sufficient analysis for determining whether to prepare an environmental impact statement (EIS) or a finding of no significant impact for the proposed activity. If in completing an EA for a proposed activity, potential adverse environmental impacts are identified, the EA will serve as a vehicle for developing either alternative approaches or mitigation measures for avoiding or reducing the identified adverse environmental impacts.

Modifications: For any activity that is the subject of a completed EA, Grantee will inform NIJ and CPJAD of (1) any change(s) that it is considering making to the previously assessed activity that may be relevant to environmental impact; or (2) any proposed new activities or changed circumstances that may require assessment as to environmental impact, such as new activities that involve the use of chemicals or involve construction or major renovation. Grantee will not implement a proposed change or new activity until NIJ, with the assistance of the CPJAD assigned specialist, has determined whether the proposed change or activity (or changed circumstances) will require additional review under NEPA. Approval for implementation will not be unreasonably withheld as long as any requested modification(s) is consistent with eligible program purposes and found acceptable under an NIJ-conducted environmental impact review process.

Grantee may not obligate, expend, or draw down any funds until the program office has verified that the Grantee has submitted all necessary documentation required to comply with the Department of Justice Procedures for Implementing the National Environmental Policy Act found at 28 CFR Part 61. Grantee must complete the cover sheet and Programmatic Environmental Assessment (EA) checklist (will be provided to each Grantee) that summarizes the typical concerns that a Grantee can expect to encounter and submit an electronic format to the

appropriate consultant working with NIJ on accepting the NEPA checklists as well as the CPJAD assigned specialist.

A.10.0 Termination of Aid

Grants may be terminated or fund payments discontinued by the CPJAD where it finds a substantial failure to comply with the provisions or regulations, including these grant conditions, or plan, or application obligations. CPJAD has the right to terminate the contract with a Grantee by giving written notice of such termination 10 calendar days before the effective date of such termination, or without a statement of cause at any time by giving written notice to a Grantee of such termination at least 30 calendar days before the effective date of such termination.

A.11.0 Grant Closeout Procedures

The project director, in concert with the CPJAD assigned specialist, is responsible for all detailed actions and controls necessary for timely accomplishment of the grant closeout process.

The final fiscal reports must be received by CPJAD within 60 days after the date the contract terminates or unless mandated earlier by CPJAD. Records and financial accounts shall be retained by the Grantee and shall be accessible to CPJAD and the United States Department of Justice for at least three years after CPJAD's grant with NIJ is closed. Grantee is to contact CPJAD before destroying any project files and project related documents.

The required Grantee documents are: final Request for Funds (RFF) and Cash Balance Report, final Project Expenditures and Obligations (PEO) Report, final Progress Report, Certificate for Title (if applicable), Allegations of Serious Negligence or Misconduct Report, and Coverdell Metric data.

B. FISCAL CONDITIONS

Grantee shall comply with the financial and administrative requirements set forth in 2 CFR Part 200 and the current edition of the Department of Justice (DOJ) Grants Financial Guide (refer to page 4 for additional information on obtaining a copy). Not all of these requirements and conditions are included in this document; however, in general, CPJAD grants are subject to and incorporate by reference, the following fiscal requirements and conditions:

B.1.0 Purpose

Federal funds may be expended only for the purposes and activities specified in the Grantee's approved plan and budget.

If a Grantee materially fails to comply with the terms and conditions of an award, CPJAD may take one or more of the following actions, as appropriate in the circumstances.

- Temporarily withhold cash payments pending correction of the deficiency by the Grantee.
- Disallow all or part of the cost of the activity or action not in compliance.
- Wholly or partly suspend or terminate the current award.
- Withhold further awards for the project or program.
- Take other remedies that may be legally available.

B.2.0 Use of Funds

B.2.1 Allowable Costs

The expenses listed below generally may be paid with Coverdell funds:

- a. **Personnel.** Funds may be used for forensic science or medical examiner personnel, overtime, fellowships, visiting scientists, interns, consultants, or contracted staff.
- b. **Computerization.** Funds may be used to upgrade, replace, lease, or purchase computer hardware and software for forensic analyses and data management.
- c. **Laboratory equipment.** Funds may be used to upgrade, lease, or purchase forensic laboratory or medical examiner equipment and instrumentation.
- d. **Supplies.** Funds may be used to acquire forensic laboratory or medical examiner supplies.

Note: To ensure compliance with the NEPA and the DOJ regulations, a Coverdell Grantee that intends to use funds for activities involving the use or purchase of chemicals will be required to submit additional information.

- e. **Accreditation.** Funds may be used to prepare for laboratory accreditation by the American Society of Crime Laboratory Directors/Laboratory Accreditation Board (ASCLD-LAB), Forensic Quality Services (FQS), the National Association of Medical Examiners (NAME), the American Association for Laboratory Accreditation (ALA), or other appropriate accrediting bodies. Funds also may be used for application and maintenance fees charged by appropriate accrediting bodies.
- f. **Education, training, and certification.** Funds may be used for appropriate internal and external training of staff that are directly and substantially involved in providing forensic science or medical examiner services. In appropriate cases, funds also may be used for fees charged by appropriate certifying bodies for certification of staff in specific forensic

discipline areas. All education, training, and certification activities must be designed to improve the quality and/or timeliness of forensic science or medical examiner services. The grant application should demonstrate that the proposed training or certification is directly related to the job position and duties of the individual(s) receiving the training or seeking certification.

- g. **Facilities.** Funds may be used for program expenses relating to facilities, provided the expenses are directly attributable to improving the quality and/or timeliness of forensic science or medical examiner services. Funds also may be used for renovation and/or construction undertaken as part of the Grantee's program to improve the quality and/or timeliness of forensic science or medical examiner services.
- h. **Costs Associated with Language Assistance (if applicable).** If a Grantee proposes a program of activity that would deliver services or benefits to individuals, the costs of taking reasonable steps to provide meaningful access to those services or benefits by individuals with limited English proficiency may be allowable costs. Reasonable steps to provide meaningful access to services or benefits may include interpretation or translation services where appropriate.

B.2.2 Unallowable Costs

The expenses listed below are not permitted:

- a. Expenses other than those listed above (including expenses for general law enforcement functions or non-forensic investigatory functions).
- b. Costs for any new facility that exceed the limits described above.
- c. Costs to purchase and/or lease of vehicles, such as crime scene vans.
- d. Fundraising

Costs of organized fund raising, including financial campaigns, endowment drives, solicitation of gifts and bequests, and similar expenses incurred solely to raise capital or obtain contributions, may not be charged either as direct or indirect costs against the award. Neither the salary of persons engaged in such activities nor indirect costs associated with those salaries may be charged to the award, except insofar as such persons perform other funding-related activities.

An organization may accept donations (i.e., goods, space, services) as long as the value of the donations is not charged as a direct or indirect cost to the award.

Nothing in this section should be read to prohibit a Grantee from engaging in fund raising activities as long as such activities are not financed by Federal or matching funds.

e. Costs Incurred Outside the Project Period

Any costs that are incurred either before the start of the project period or after the expiration of the project period are not allowable. For additional information, refer to B.3.0 Project Period.

f. Lobbying

Refer to A.9.5. Lobbying.

g. Payment for Unused Accrued Vacation

Payout for unused accrued vacation cannot be made with Federal funds.

h. Replacing Loss, Damage, Theft of Equipment

Refer to B.13.0. Loss, Damage, Theft of Equipment.

i. Other

- Entertainment, including amusement, diversion, and social activities, and any costs directly associated with such costs (such as tickets to shows or sports events, meals, lodging, rentals, transportation, and gratuities)
- Fines and penalties (except when incurred as a result of compliance with specific provisions of an award or instructions in writing from the awarding agency)
- Credit card fees
- Passport charges
- Tips
- Bar charges/alcoholic beverages
- Membership fees to organization whose primary activity is lobbying
- Premium (overtime) pay:
 - You should not pay overtime costs solely because you are using Federal funds.
 - Any overtime pay must be authorized in advance through written approval from CPJAD.

B.3.0 Project Period

The project director can select the project's start and end date with CPJAD approval. For

projects receiving continuing funding, the project period should run consecutively with the prior contract. Once a contract for the grant is executed, the project's start date cannot be modified. Grant funds must be spent within the budget period of the project unless an extension is approved by CPJAD.

B.4.0 Non-Supplanting

Federal funds may be used only to supplement and not supplant local funds otherwise available for law enforcement and criminal justice programs. (Refer to A.9.2 for more information.)

B.5.0 Project Expenditures

B.5.1 Procurement of Goods and Services

Funds budgeted in the award to the Grantee for, among other purposes, the procurement of goods and services, shall be expended in strict compliance with applicable county, state, and Federal procurement requirements.

B.5.2 Equipment and Hardware

The purchase or acquisition of equipment or hardware with Federal funds is allowable if the costs are a necessary part of an approved program.

B.5.3 Computer Equipment and Software (CES)

The following procurement criteria must be met to purchase computer equipment and software:

The CES type to be purchased is identified within the grant application and is necessary and sufficient to meet project goals.

The CES procurement is in compliance with existing Federal, state, and local laws and regulations.

Grantee has conducted a purchase/lease comparison demonstrating that it is more advantageous to purchase rather than lease the CES equipment under consideration, or leasing is not allowed by the jurisdiction.

If CES equipment procurement is to be sole source, Grantee has submitted adequate documentation to justify the action. Refer to B.6.0 Sole Source for additional information.

If software development is involved, it must be demonstrated that existing computer software already produced and available will not meet the needs of the

Grantee.

In order to promote information sharing and enable interoperability among disparate systems across the justice and public safety community, Grantee must comply with the DOJ Global Justice Information Sharing Initiative (DOJ's Global) guidelines and recommendations for this particular grant. Grantee shall conform to the Global Standards Package (GSP) and all constituent elements, where applicable, as described at: http://www.it.ojp.gov/gsp_grantcondition. Grantee shall document planned approaches to information sharing and describe compliance to the GSP and appropriate privacy policy that protects shared information, or provide detailed justification for why an alternative approach is recommended.

B.5.4 Personnel and Fringe Benefits

Payment of personnel costs with Federal funds is permitted if the costs are a part of an approved program or project. Grant-funded personnel are required to maintain daily time and activity reports (timesheets) whether they are employed full or part-time.

- Grant-funded full-time personnel whose salaries are charged/supported solely on a *single* Federal award are also required to complete the Certification of Grant-Funded Employment (Appendix C, Form AG/CPJAD #38) on a semi-annual basis. The certification must be signed by the employee and a supervisory official having firsthand knowledge of the work performed by the employee.

The fringe benefit cost is also allowable. For the current approved fringe rate for the State of Hawaii, go to the Department of Budget and Finance website www.budget.hawaii.gov and search under the "Statewide Policies, Finance Memorandum."

The state approved fringe benefit rate is set by Hawaii's Department of Budget and Finance (B&F) and approved by the U.S. Department of Health and Human Services. Grant recipients from county agencies should consult with the county's B&F counterpart for the county approved fringe rate. The county rate used cannot include fringe items that are not included in the state's B&F approved rate.

Fringe benefits on overtime hours are limited to FICA, Workers' Compensation, and Unemployment Compensation.

Overtime cost is allowable but cannot exceed 30% of the total project budget. An individual shall not incur overtime with project funds in excess of 10% of the individual's gross annual salary.

B.5.5 Training/Conference Cost Threshold and Conditions

Reasonable conference-related activity costs are allowable uses of funds as long as the grant budget has been approved by CPJAD.

Grantee shall comply with all applicable laws, regulations, policies, and guidance (including specific cost limits, prior approval and reporting requirements, where applicable) governing the use of Federal funds for expenses related to conferences, meetings, training, and other events. Information on pertinent laws, regulations, policies, and guidance is available at

<http://ojp.gov/financialguide/DOJ/PostawardRequirements/chapter3.10a.htm>.

Grantee should become familiar with the Policy and Guidance for Conference Costs applicable to the Coverdell grant found in the DOJ Grants Financial Guide. OJP periodically revises the policy and guidance for conference costs, therefore, Grantee must comply with the provisions of the most current policy/guidance. Failure to comply with these conditions may result in the denial, reduction, or termination of funding.

In general, conferences (defined broadly to include meetings, retreats, seminars, symposiums, events, and group training activities) conducted by Grantee is an allowable cost. However, Grantee must ensure compliance with the following limitations and cost thresholds:

- Meeting room/audio-visual services (lesser of \$25 per day per attendee or \$20,000)
 - Cost allowed for conference space and audio-visual equipment and services is limited to \$25 per day per attendee not to exceed a cumulative cost of \$20,000. Cost in excess of these limits require additional justification and approval outside of OJP.
- Printing - Every effort should be made to provide conference materials to participants electronically or via print-on-demand services/options. Printed materials should maximize paper usage (printing on both sides) and minimize higher cost options (color printing) where possible.
- Logistical Planners (cost limit, lesser of \$50 per attendee or \$8,750).
- Programmatic Planners (cost limit, lesser of \$200 per attendee or \$35,000).
- Food and Beverage (not allowed).
- Refreshments (not allowed).

Grantee understands that any training or training materials developed or delivered with funding provided under the grant must adhere to the OJP Training Guiding Principles for Grantees and Subgrantees, available at

<http://ojp.gov/funding/Implement/TrainingPrinciplesForGrantees-Subgrantees.htm>.

Trinkets (items such as hats, mugs, portfolios, t-shirts, coins, gift bags, etc., regardless of whether they include the conference name or OJP/DOJ log) must not be purchased with grant funds as giveaways for conferences. Basic supplies that are necessary for use during the conference (e.g., folders, name tags) may be purchased. Gifts, honorariums, leis, etc. cannot be purchased with grant funds.

B.5.6 Food and Beverage Expenditures

No OJP grant funding can be used to purchase food and/or beverages for any meeting, conference, training, or other event.

B.5.7 Consultants

Compensation for individual consultant services is to be reasonable and consistent with that paid for similar services in the marketplace. Effective June 1, 2014, the maximum allowable rate is \$650 per day (excluding travel and subsistence costs) for an eight-hour day or \$81.25 per hour. An eight-hour day may include preparation, evaluation, and travel time in addition to the time required for actual performance. Please note, however, that this does not mean that the rate can or should be the maximum limit for all consultants.

Consultants who are contracted through a competitive bidding process are not subject to the maximum consultant rate threshold. Those consultants who have been contracted without a competitive bidding process (e.g., sole source) are subject to the maximum consultant rate threshold.

When the rate exceeds the limit for an eight-hour day, or a proportionate hourly rate (excluding travel and subsistence costs), Grantee must request written approval from CPJAD, prior to obligating grant funds.

In order to calculate a rate of compensation for consultants associated with and employed by educational institutions, divide the total compensation projected for 12 months by 260. If the resulting rate of compensation exceeds the maximum consultant rate established, written prior approval must be obtained from CPJAD.

Compensation for consultants employed by state and local government will only be allowed when the unit of government will not provide these services without cost.

- If a state or local government employee has been contracted to provide services that are related to his or her employment with the state or local government, the rate of compensation is not to exceed the daily salary rate for the employee paid by the unit of government.
- If a state or local government employee has been contracted to provide services that are unrelated to his or her employment with the state or local

government, then the rate of compensation is based on the necessary and reasonable cost principles which cannot exceed the maximum rate allowed by the awarding agency without prior written approval.

Refer to the DOJ Grants Financial Guide for additional information. It is recommended that Grantee contact CPJAD to ensure that the compensation they are planning to pay a consultant is at the market rate and meets Federal requirements.

Time and activity reports are required for consultants.

B.5.8 Land Acquisition

Acquisition of land with Federal funds is prohibited.

B.5.9 Evaluation Costs

Expenses associated with conducting evaluations of programs/projects funded with formula grant funds are allowable expenses and may be paid with grant funds.

B.5.10 Travel, Per Diem Rate, and Rental Cars

The project-funded travel/training as well as the obligation must fall within the project period. For additional information refer to A.4.0 Project Activities.

Travel to attend specialized training on the mainland is allowable, if necessary to carry out the project objective(s), and the Grantee can demonstrate that similar training is not available locally, or cannot be brought to Hawaii at a comparable price. Prior approval from CPJAD is required for each trip.

The allowable per diem rate and excess lodging costs for travel is based on the county and state approved rates.

All contracts funded by OJP awards for events that include 30 or more participants (both Federal and non-Federal) must ensure that lodging costs for any number of attendees do not exceed the prevailing Federal per diem rate for lodging. If the lodging rate is not the Federal per diem rate or less, none of the lodging costs associated with the event are allowable costs to the award. As a result, the Grantee would be required to pay for all lodging costs for the event with non-grant funds, not just the amount in excess of the Federal per diem. For example, if the Federal per diem rate for lodging is \$78 per night, and the lodging rate for the event is \$100 per night, Grantee would be required to pay the full \$100 per night, not just the difference of \$22 per night.

Car rental while attending mainland conferences or training is not allowable except in special circumstances, and require prior approval from CPJAD. It is expected that a taxi or shuttle service will be used whenever possible. Variances in special situations (for example when a rental car is more cost effective, when a taxi or shuttle service is not practicable) will be done on a case-by-case basis.

B.5.11 Indirect Costs

Indirect costs are allowed if the Grantee has a current federally approved indirect cost rate. Grantee must provide a copy of the federally approved indirect cost rate agreement to CPJAD. A Grantee that has never received a federally approved indirect cost rate may use the Certification of 10% De Minimis Indirect Cost Rate. Refer to A.9.7 for more information.

B.6.0 Sole Source

A procurement bid with only one bidder is considered to be sole source. In addition to state and county procurement rules, prior CPJAD authorization is needed for sole source procurements over \$150,000 in Federal funds. Grantee is required to submit a completed Justification for Non-Competitive Procurement Form (Appendix C, AG/CPJAD #21) for CPJAD authorization. Upon authorization by the Branch Chief, a copy of the justification form will be returned to the Grantee and state procurement policies will need to be followed to complete the sole source process. The authorization from CPJAD is not approval for sole source procurement, it only authorizes you to proceed with the process to obtain approval. All procurement transactions, whether negotiated or competitively bid and without regard to value, must comply with Grantee's procurement requirements that provide maximum open and free competition.

B.7.0 Program Income

Program income means gross income earned by the Grantee that is directly generated by a supported activity or earned as a result of the Federal award during the project period. Grantee can use program income to advance program objectives or refund the income to CPJAD. Program income may only be used for allowable program costs. Unless otherwise stipulated in the award, any program income earned during the project period but not utilized for the project must be refunded to CPJAD. Prior approval to expend the funds for program purposes must be obtained from CPJAD prior to the expenditure of such funds. Program income from asset seizures and forfeitures is considered earned when the property has been adjudicated to the benefit of law enforcement. Program income shall be reported by Grantee on the quarterly Project Expenditures and Obligations Report (Appendix A, AG/CPJAD #8). Refer to B.10.0 Project Expenditures and Obligation Report.

B.8.0 Modification of Approved Budget

Modification of an approved budget must be submitted in writing to CPJAD in advance of the obligation of expenditures. Upon approval by the CPJAD Grants and Planning Branch Chief, a project grant modification notice will be initiated.

All requests for budget modifications must be submitted by the Grantee no later than 45 days prior to the project end date. All requests for modification to the approved budget shall be reviewed by CPJAD for consistency with Federal requirements and project goals and objectives. Grantee is to submit a revised Part III. Budget Detail and Explanation.

The following conditions require a budget modification and CPJAD approval:

- Change in approved budget line item in excess of 5% of the total category amount in which the line item is listed.
- Moving monies into any budget category with a zero dollar amount.

For additional information, refer to A.6.0 Project Revisions.

B.9.0 Request for Funds and Payments

Once the contract between the Department of the Attorney General and the Grantee is executed, payments to Grantee shall be made in accordance with and subject to the following provisions:

- Payments shall be made monthly upon receipt of Grantee's completed Request for Funds. Funds are not paid in lump sum but rather distributed over time as project costs are incurred or anticipated.
- Drawdown requests should be based upon the minimum needed for disbursements/reimbursements to be made immediately or within 10 days to ensure that Federal cash on hand is kept to a minimum. If the requested funds are not disbursed within 10 days of receipt, Grantee may be requested to return funds to CPJAD.
- Payments shall be made in accordance with and subject to Chapter 40, Hawaii Revised Statutes, which specifies the accounting procedures and controls applicable to payments out of the Treasury of the State of Hawaii.
- If an amount of reported expenditures is determined by CPJAD to be inappropriate and unallowable, CPJAD may deduct an equivalent amount from the next payable installment and may withhold payment of the amount of the monies equivalent to the questioned expenditures until resolution of the discrepancy by audit or other means.

If, after payment of the last installment, investigation and examination reveal additional expenditures that are determined by CPJAD to be inappropriate and unallowable, CPJAD

may require that an equivalent amount of monies be refunded to CPJAD notwithstanding CPJAD's preliminary determination of appropriateness and allowability.

Grantee must submit the completed Request for Funds and Cash Balance Report (Appendix A, AG/CPJAD #7) to request funds. The Request for Funds form must be received by CPJAD by the 15th of each month, even if no funds are being requested. CPJAD also uses this report to monitor a project's cash balance. Refer to B.12.0 for allowable cash on hand.

The final drawdown for funds shall be received by CPJAD no later than 30 days after the contract terminates.

Refer to Appendix A. Financial Forms for a copy of the form and the instructions for completing it. The form is also available on the G&P website at www.ag.hawaii.gov/cpja/gp. Also refer to A.11.0 Grant Closeout Procedures for additional information on final reports.

B.10.0 Project Expenditures and Obligations Report

Grantee must submit the completed Project Expenditures and Obligations Report (Appendix A, AG/CPJAD #8) at the end of each calendar quarter. The Project Expenditures and Obligations Report must be received by CPJAD by the 15th day following the end of each calendar quarter. The Project Expenditures and Obligations Report is due as follows:

| | |
|--------------------------------------|------------------------------|
| January to March calendar quarter | due April 15 th |
| April to June calendar quarter | due July 15 th |
| July to September calendar quarter | due October 15 th |
| October to December calendar quarter | due January 15 th |

Non-adherence to these deadlines may result in the withholding of grant funds. The quarterly report allows CPJAD to monitor cumulative project expenditures that were paid with Federal funds, and the collection and dispersion of program income.

Refer to Appendix A. Financial Forms for a copy of the form and the instructions for completing it. The form is also available on the G&P website at www.ag.hawaii.gov/cpja/gp. Also refer to A.11.0 Grant Closeout Procedures for additional information on final reports.

B.11.0 Fiscal Administration

Grantee's records concerning the grant project must be made available for inspection and audit by authorized Federal and state officials in accordance with the DOJ Grants Financial Guide.

B.11.1 Accounting System

- Establish a separate account for the grant project with separate accountability of receipts, obligations, expenditures, and balances for each fiscal budget period.
- Itemize all supporting records of grant receipts and expenditures in sufficient detail to document the exact nature of fiscal activity for each fiscal budget period.
- Provide data and information for each expenditure with proper reference to a supporting voucher or bill properly approved.
- Maintain payroll authorizations and vouchers.
- Maintain a time-reporting system for personnel charged to grant.
- Maintain adequate records supporting charges for fringe benefits.
- Maintain adequate records supporting charges for equipment.
- Project accounting records should also reflect program income received, if any, through fees, contributions, or payments by third party. Maintain supporting records of income received, expended, and balances for each fiscal budget period.

B.11.2 Audit

The DOJ Grants Financial Guide and the Uniform Guidance 2 CFR Part 200 state that if a Grantee is a non-Federal entity that expended \$750,000 or more in Federal funds during the Grantee agency's fiscal year, Grantee is required to arrange for a single organization-wide audit conducted in accordance with the provisions of Title 2 CFR Subpart F. If applicable, Grantee shall submit a copy of their audit report to the Federal Audit Clearinghouse at <https://harvester.census.gov/facweb/> and to CPJAD.

Grantee shall comply with the applicable audit requirements of 2 CFR Part 200, and further understands that funds may be withheld, or other related requirements may be imposed, if outstanding audit issues (if any) are not satisfactorily and promptly addressed as further described in the audit requirements and current edition of the DOJ Grants Financial Guide.

Failure to comply with audit requirements may result in the withholding of new awards and/or withholding of funds.

B.11.3 Catalog of Federal Domestic Assistance (CFDA)

Title: Paul Coverdell Forensic Science Improvement Grants Program

Number: 16.742 Agency: Department of Justice

B.11.4 Retention and Access Requirement of Records

All books of original entry, source documents* supporting accounting transactions, the general ledger, subsidiary ledgers, personnel and payroll records, canceled checks, and related documents and records must be retained for at least three years after the federal award between NIJ and the Department of the Attorney General is closed. Agencies considering disposal of records should call CPJAD regarding the date of grant closure by NIJ.

(*) Source documents include copies of all awards, applications, and required Grantee financial and narrative reports. Personnel and payroll records shall include the time and activity reports for all individuals paid under the project, whether they are employed full-time or part-time. Time and activity reports are also required for consultants.

The Department of Justice, National Institute of Justice, Office of the Inspector General, OJP Office of the Chief Financial Officer, or any of their authorized representatives, shall have the right of access to any pertinent books, documents, papers, or other records of Grantee which are pertinent to the award, in order to make audits, examinations, excerpts, and transcripts.

B. 11.5 Unencumbered/Unexpended Funds

Funds provided to Grantee that are unencumbered on the date the project terminates shall be returned to CPJAD. Funds that are encumbered but not disbursed within 60 days after the project terminates shall be returned to CPJAD.

B.12.0 Cash on Hand

Excess cash on hand is unallowable. Grantee should request funds based upon the minimum needed for disbursements/reimbursements to be made immediately or within 10 days of receipt. Grantee should time drawdown requests to ensure that Federal cash on hand is kept to a minimum.

B.13.0 Loss, Damage, Theft of Equipment

Grantee is responsible for replacing or repairing equipment that is willfully or negligently lost, stolen, damaged, or destroyed. Any loss, damage, or theft of the property must be investigated and fully documented and made part of the official project records.

Grantee cannot use Federal funds to replace or repair equipment that is willfully or negligently lost, stolen, damaged, or destroyed.

APPENDIX A

FINANCIAL FORMS

**DEPARTMENT OF THE ATTORNEY GENERAL
REQUEST FOR FUNDS AND CASH BALANCE REPORT**

check one: MONTHLY DRAWDOWN (due at CPJAD by the 15th day of each month)
 FINAL DRAWDOWN (due at CPJAD by the 30th day after project end date)
 FINAL REPORT (due at CPJAD by the 60th day after project end date)

PROJECT NO. _____

PROJECT TITLE: _____

REPORT NO. _____

PART A. REQUEST FOR GRANT FUNDS

| | GRANT | AGENCY MATCH | TOTAL |
|-------------------------------|---------|--------------|-------------|
| 1. AMOUNT OF GRANT AWARD | \$ 0 | \$ 0 | \$ 0 |
| 2. PERCENT OF TOTAL GRANT | #DIV/0! | #DIV/0! | #DIV/0! |
| 3. ADVANCES REQUESTED TO DATE | \$ 0 | Leave Blank | Leave Blank |
| 4. BALANCE OF AWARD AVAILABLE | \$ 0 | Leave Blank | Leave Blank |
| 5. AMOUNT OF THIS REQUEST | \$ 0 | Leave Blank | Leave Blank |

For State Agencies -- transfer of funds to Appropriation Code: _____

PART B. CASH BALANCE REPORT

| | GRANT | AGENCY MATCH | TOTAL |
|---|---------|----------------|-------------|
| 1. TOTAL CASH RECEIVED AS OF _____ | \$ 0.00 | \$ Leave Blank | Leave Blank |
| 2. LESS: CUMULATIVE EXPENDITURES AS OF _____ | \$ 0.00 | \$ 0.00 | \$ 0.00 |
| 3. ENDING CASH BALANCE | \$ 0.00 | \$ Leave Blank | Leave Blank |

I CERTIFY THAT THE INFORMATION CONTAINED HEREINABOVE IS IN ALL RESPECTS TRUE AND CORRECT AND THE DISBURSEMENTS BEING MADE ARE IN ACCORDANCE WITH THE GRANT AWARD CONTRACT FOR THE SUBJECT PROGRAM.

ADMINISTERING AGENCY: _____

AGENCY ADDRESS: _____

SIGNATURE OF

AUTHORIZED AUTHORITY: _____

DATE: _____

TYPED NAME & TITLE: _____

PREPARER NAME: _____

PHONE #: _____

FAX #: _____

FOR USE BY THE DEPARTMENT OF THE ATTORNEY GENERAL ONLY

Payment Approved: _____

Goods/Svs. Satisfactorily Received: _____

By: _____

Date Goods/Svs. Received: _____

Date Invoice Received: _____

Specialist _____

INSTRUCTIONS
REQUEST FOR FUNDS AND CASH BALANCE REPORT
(AG/CPJAD #7)

DUE: Monthly Drawdown: Submit a completed form (one original and two copies), by the 15th of each month, even if no funds are being requested. If no funds are being requested, submit one original only.
Final Drawdown: Submit a completed form (one original and two copies), by the 30th day after the project end date. This will be the project's final request for cash.
Final Report: Submit a completed form (one original and two copies), by the 60th day after the project end date.

PURPOSE: (1) To request funds.
(2) To monitor cash balance (grant cash balance should be kept at a minimum).

PART A. REQUEST FOR GRANT FUNDS

1. Enter amounts (Grant, Agency Match, Total) awarded to the project in the appropriate column. "GRANT" means the State or Federal portion of the project's budget. NOTE: See Exhibit A, "Application for Grant, Part I, Title Page," of the Contract or any applicable Supplemental Agreement, for the Grant, Agency Match, and Total information.
2. Percentages will be automatically entered as Part A. Line 1 is completed. The percentages are also listed on Exhibit A, "Application for Grant, Part I, Title Page," of the Contract or applicable Supplemental Agreement. The sum of Grant and Agency percentages should equal 100%.
3. Enter cumulative requests for Grant made prior to this submittal in the Grant column. If Grant funds are returned to CPJAD, then the amount "Advances Requested to Date" is reduced proportionally.
4. The Balance of Award Available (Line 1 less Line 3) will be automatically entered in the Grant column as Lines 1 and 3 are completed.
5. **Enter amount requested, rounded to the nearest dollar,** in the Grant column.

PART B. CASH BALANCE REPORT

1. Enter total cash received to date in the Grant column. Enter the date in the space provided.
2. Enter total cumulative (not monthly) project expenditures to date in the appropriate column(s). Enter the date in the space provided. The amount entered in this column(s) should be actual expenditures. Do not include obligated costs. By the end of the project, the expenditures should match the percentages in Part A, Line 2.
3. The Ending Cash Balance (Line 1 less Line 2) will be automatically entered in the Grant column as Lines 1 and 2 are completed. **A federal requirement is that the cash balance should be kept to a minimum.**

SUBMITTING FINAL REPORT (due at CPJAD by the 60th day after the project end date)

1. Check the "Final Report" box to indicate that this is the agency's final report.

2. PART B. Line 3. Ending Cash Balance must be \$0 on the “final” report. If an amount more than \$0 is listed, then the project is required to return this amount to CPJAD. If the agency is in the process of returning funds to CPJAD or has not returned the funds to CPJAD, then do not check the “Final Report” box.

**DEPARTMENT OF THE ATTORNEY GENERAL
PROJECT EXPENDITURES & OBLIGATIONS REPORT**

RPT. # _____

PROJECT TITLE: _____

PROJECT # _____

REPORTING PERIOD: CALENDAR QUARTER ENDING: _____

| PART A. EXPENDITURE CATEGORIES | | | | |
|---------------------------------------|-----------------|----------------------|--------------------|---------|
| | APPROVED BUDGET | EXPENDITURES TO DATE | UNPAID OBLIGATIONS | BALANCE |
| SALARIES & WAGES | | | | \$0.00 |
| FRINGE BENEFITS | | | | \$0.00 |
| CONSULTANT SERVICES/CONTRACTS | | | | \$0.00 |
| TRANSPORTATION/SUBSISTENCE | | | | \$0.00 |
| OFFICE SUPPLIES | | | | \$0.00 |
| EQUIPMENT | | | | \$0.00 |
| OTHER COSTS | | | | |
| 1. | | | | \$0.00 |
| 2. | | | | \$0.00 |
| List Total Other Cost from Page 2 | | | | \$0.00 |
| EXPENDITURE TOTAL | \$0.00 | \$0.00 | \$0.00 | \$0.00 |
| PROGRAM INCOME SOURCES: | | | | |
| 1. | | | | \$0.00 |
| 2. | | | | \$0.00 |
| PROGRAM INCOME TOTAL | \$0.00 | \$0.00 | | \$0.00 |
| GRAND TOTAL | \$0.00 | \$0.00 | \$0.00 | \$0.00 |

| PART B. SOURCE OF FUNDS | | | | |
|--------------------------------|-----------------|----------------------|--------------------|---------|
| | APPROVED BUDGET | EXPENDITURES TO DATE | UNPAID OBLIGATIONS | BALANCE |
| GRANT FUNDS: 0% | | | | \$0.00 |
| AGENCY MATCH: 0% | | | | \$0.00 |
| SUBTOTAL | \$0.00 | \$0.00 | \$0.00 | \$0.00 |
| PROGRAM INCOME | \$0.00 | \$0.00 | \$0.00 | \$0.00 |
| GRAND TOTAL | \$0.00 | \$0.00 | \$0.00 | \$0.00 |

I CERTIFY THAT THIS IS A TRUE AND CORRECT STATEMENT OF EXPENDITURES AND OBLIGATIONS OF THE PROJECT IDENTIFIED ABOVE FOR THE PERIOD NOTED AND THAT THE APPROPRIATE DOCUMENTATION TO SUPPORT THESE EXPENDITURES AND OBLIGATIONS ARE AVAILABLE IN THE OFFICE NOTED BELOW.

ADMINISTERING AGENCY: _____

PREPARER: _____

PHONE: _____

FAX: _____

SIGNATURE OF

AUTHORIZED AUTHORITY: _____

DATE: _____

TYPED NAME & TITLE: _____

SUBMIT ORIGINAL PLUS 2 COPIES

MUST BE RECEIVED WITHIN 15 DAYS AFTER THE END OF EACH CALENDAR QUARTER DURING THE PROJECT PERIOD

FINAL REPORT MUST BE RECEIVED WITHIN 60 DAYS AFTER THE PROJECT END DATE

**DEPARTMENT OF THE ATTORNEY GENERAL
PROJECT EXPENDITURES & OBLIGATIONS REPORT, PAGE 2**

RPT. # _____

PROJECT TITLE: _____

PROJECT # _____

REPORTING PERIOD: CALENDAR QUARTER ENDING: _____

| PART A. EXPENDITURE CATEGORIES Continued from Page 1 | APPROVED BUDGET | EXPENDITURES TO DATE | UNPAID OBLIGATIONS | BALANCE |
|--|--------------------|-------------------------|-----------------------|---------------|
| OTHER COSTS | | | | |
| 3. | | | | \$0.00 |
| 4. | | | | \$0.00 |
| 5. | | | | \$0.00 |
| 6. | | | | \$0.00 |
| 7. | | | | \$0.00 |
| 8. | | | | \$0.00 |
| 9. | | | | \$0.00 |
| 10. | | | | \$0.00 |
| 11. | | | | \$0.00 |
| 12. | | | | \$0.00 |
| 13. | | | | \$0.00 |
| 14. | | | | \$0.00 |
| 15. | | | | \$0.00 |
| 16. | | | | \$0.00 |
| 17. | | | | \$0.00 |
| 18. | | | | \$0.00 |
| 19. | | | | \$0.00 |
| 20. | | | | \$0.00 |
| | | | | |
| TOTAL | \$0.00 | \$0.00 | \$0.00 | \$0.00 |

SUBMIT ORIGINAL PLUS 2 COPIES

MUST BE RECEIVED WITHIN 15 DAYS AFTER THE END OF EACH CALENDAR QUARTER DURING THE PROJECT PERIOD

FINAL REPORT MUST BE RECEIVED WITHIN 60 DAYS AFTER THE PROJECT END DATE

**DEPARTMENT OF THE ATTORNEY GENERAL
PROJECT EXPENDITURES & OBLIGATIONS REPORT -- VOCA ADMIN ONLY**

RPT. # _____

PROJECT TITLE: _____

PROJECT # _____

REPORTING PERIOD: CALENDAR QUARTER ENDING: _____

| PART A. EXPENDITURE CATEGORIES | | | | |
|---------------------------------------|-----------------|----------------------|--------------------|---------------|
| | APPROVED BUDGET | EXPENDITURES TO DATE | UNPAID OBLIGATIONS | BALANCE |
| SALARIES & WAGES | | | | \$0.00 |
| FRINGE BENEFITS | | | | \$0.00 |
| CONSULTANT SERVICES | | | | \$0.00 |
| TRANSPORTATION/SUBSISTENCE | | | | \$0.00 |
| OFFICE SUPPLIES | | | | \$0.00 |
| OTHER COSTS | | | | |
| 1. | | | | \$0.00 |
| 2. | | | | \$0.00 |
| 3. | | | | \$0.00 |
| 4. | | | | \$0.00 |
| TOTAL | \$0.00 | \$0.00 | \$0.00 | \$0.00 |
| PROGRAM INCOME SOURCES: | | | | |
| 1. | | | | \$0.00 |
| 2. | | | | \$0.00 |
| INCOME TOTAL | \$0.00 | \$0.00 | | \$0.00 |
| GRAND TOTAL | \$0.00 | \$0.00 | \$0.00 | \$0.00 |

| PART B. SOURCE OF FUNDS | | | | |
|--------------------------------|-----------------|----------------------|--------------------|---------|
| | APPROVED BUDGET | EXPENDITURES TO DATE | UNPAID OBLIGATIONS | BALANCE |
| GRANT FUNDS: | | | | \$0.00 |
| ADMIN FEDERAL FUNDS | | | | \$0.00 |
| TOTAL FEDERAL | | | | \$0.00 |

I CERTIFY THAT THIS IS A TRUE AND CORRECT STATEMENT OF EXPENDITURES AND OBLIGATIONS OF THE PROJECT IDENTIFIED ABOVE FOR THE PERIOD NOTED AND THAT THE APPROPRIATE DOCUMENTATION TO SUPPORT THESE EXPENDITURES AND OBLIGATIONS ARE AVAILABLE IN THE OFFICE NOTED BELOW.

ADMINISTERING AGENCY: _____

PREPARER: _____

PHONE: _____

FAX: _____

SIGNATURE OF

AUTHORIZED AUTHORITY: _____

DATE: _____

TYPED NAME & TITLE: _____

SUBMIT ORIGINAL PLUS 2 COPIES

**MUST BE RECEIVED WITHIN 15 DAYS AFTER THE END OF EACH CALENDAR QUARTER DURING THE PROJECT PERIOD
FINAL REPORT MUST BE RECEIVED WITHIN 60 DAYS AFTER THE PROJECT END DATE**

INSTRUCTIONS
PROJECT EXPENDITURES & OBLIGATIONS REPORT
(AG/CPJAD #8)

DUE: Fifteen (15) calendar days after the end of each calendar quarter. NOTE: Due dates are April 15th, July 15th, October 15th, and January 15th, regardless of project start date. Submit one original and two copies.
Final Report: Due by the 60th day after the project end date. Submit one original and two copies.

PURPOSE: For CPJAD and Grantee to monitor project expenditures to ensure that project funds are spent in a timely manner, within budget, and by the end of the project. The information on this form is reported to the Office of the Chief Financial Officer, Department of Justice. This is a requirement for all federally funded projects .

PART A. EXPENDITURE CATEGORIES

1. Approved Budget: Enter total (not quarterly) amounts in each category established by the project's current approved budget. The approved budget includes both the grant funds and the agency funds. NOTE: Project Directors should provide Fiscal Officers with a copy of the project's current approved budget.
2. Expenditures to Date: Enter cumulative (not quarterly) expenditures in each category as of the end date of the calendar quarter. The cumulative expenditures includes both the grant expenditures and the agency expenditures.
3. Unpaid Obligations: Enter unpaid obligations in each category as of the end date of the calendar quarter. The unpaid obligations includes both the grant obligations and the agency obligations. Unpaid obligations are obligations for which funds have been obligated but have not been paid (e.g., issued purchase orders, invoices that have not been paid, etc. (Do not complete shaded cells.)
4. Balance: The balance (approved budget less expenditures to date and unpaid obligations) will be automatically entered as the approved budget, expenditures to date, and unpaid obligations columns are completed.
5. Program Income Sources: Enter any sources of program income. Examples of program income include royalties, registration/tuition fees, and asset seizures and forfeitures. Program income from asset seizures and forfeitures is considered earned when the property has been adjudicated to the benefit of law enforcement. Program income earned as a result of project activities should be returned to the program.
6. Expenditure Total, Program Income Total, and Grand Total: The Excel spreadsheet includes formulas that will compute these items. The amounts in the "Grand Total" for both Parts A and B must be the same.

PART B. SOURCE OF FUNDS

1. Source of Funds: Enter the percentage of grant and agency funds. NOTE: See Exhibit A, “Application for Grant, Part I, Title Page,” of the Contract or any applicable Supplemental Agreement, for this information.
2. Approved Budget: Enter the grant and agency match amounts as established in the project’s current approved budget.
3. Expenditures to Date: Enter cumulative (not quarterly) grant and agency match expenditures as of the end date of the calendar quarter. (The grant and agency match expenditure amounts listed here should be the same amounts listed in the corresponding Request for Funds and Cash Balance Report, AG/CPJAD #7, Part B. Line 2.)
4. Unpaid Obligations: Enter cumulative (not quarterly) grant and agency match unpaid obligations as of the end date of the calendar quarter.
5. Balance: The balance (approved budget less expenditures to date and unpaid obligations) will be automatically entered as the approved budget, expenditures to date, and unpaid obligations columns are completed.
6. Subtotal, Program Income, and Grand Total: The Excel spreadsheet includes formulas that will compute these items. The amounts in the “Grand Total” for both Parts A and B must be the same.

SUBMITTING FINAL REPORT

1. After entering the RPT# (top right corner), type “Final” to indicate that this is the agency’s final report. A report cannot be “Final” if unpaid obligations remain.

APPENDIX B

CERTIFICATES AND ASSURANCES

DEPARTMENT OF THE ATTORNEY GENERAL
Crime Prevention and Justice Assistance Division

ACCEPTANCE OF CONDITIONS

The undersigned agrees, on behalf of the applicant agency, that:

1. This project, upon approval, shall constitute an official part of the Paul Coverdell Forensic Sciences Improvement Grants (“Coverdell grants”) under part BB of Title I of the Omnibus Crime Control and Safe Streets Act of 1968 (42 U.S.C. Sec. 3797).
2. Any grant awarded pursuant to this application shall be subject to and will be administered in conformity with:
 - (a) general conditions applicable to administration of grants under Title VI, Subtitle C, Part E, Subpart 1, of the Anti-Drug Abuse Act of 1988 (Public Law 100-690), as amended, as applicable;
 - (b) conditions applicable to the fiscal administration of grants under Title VI, Subtitle C, Part E, Subpart 1, of the Anti-Drug Abuse Act of 1988 (Public Law 100-690), as amended, as applicable;
 - (c) any special conditions contained in the grant award; and
 - (d) general and fiscal regulations of the Crime Prevention and Justice Assistance Division.
3. Any grant received as a result of this application may be terminated, or fund payment may be discontinued, by the Crime Prevention and Justice Assistance Division when it finds a substantial failure to comply with the foregoing provisions, the application obligations or for non-availability of funds.

SUBMITTED BY:

Signature: _____ Date: _____
Name: _____ Title: _____
Agency: _____

DEPARTMENT OF THE ATTORNEY GENERAL
Crime Prevention and Justice Assistance Division

ACCEPTANCE OF PAUL COVERDELL FORENSIC SCIENCE IMPROVEMENT GRANTS
PROGRAM SPECIAL CONDITIONS

The undersigned Grantee understands and agrees, on behalf of its agency that:

1. Applicability of Part 200 Uniform Requirements

Grantee agrees to comply with the financial and administrative requirements set forth in 2 C.F.R. Part 200 and the current edition of the Department of Justice (DOJ) Grants Financial Guide.

Grantee understands and agrees that CPJAD may withhold award funds, or may impose other related requirements, if the Grantee does not satisfactorily and promptly address outstanding issues from audits required by the Part 200 Uniform Requirements (or by the terms of this award), or other outstanding issues that arise in connection with audits, investigations, or reviews of CPJAD awards.

2. Reporting Potential Fraud, Waste, and Abuse, and Similar Misconduct

Grantee shall promptly refer to the U.S. Department of Justice (DOJ), Office of the Inspector General (OIG) any credible evidence that a principal, employee, agent, contractor, subgrantee, subcontractor, or other person has either 1) submitted a false claim for funds under the False Claims Act; or 2) committed a criminal or civil violation of laws pertaining to fraud, conflict of interest, bribery, gratuity, or similar misconduct involving funds. Potential fraud, waste, abuse, or misconduct should be reported to the OIG by:

Mail: Office of the Inspector General
U.S. Department of Justice
Investigations Division
950 Pennsylvania Avenue, N.W.
Room 4706
Washington, DC 20530

E-mail: oig.hotline@usdoj.gov
Hotline: (contact information in English and Spanish): (800) 869-4499, or
Hotline fax: (202) 616-9881

Additional information is available from the DOJ OIG website at www.usdoj.gov/oig.

3. 41 U.S.C. 4712 (Including Prohibitions on Reprisal; Notice to Employees)

Grantee must comply with, and is subject to, all applicable provisions of 41 U.S.C. 4712, including all applicable provisions that prohibit, under specified circumstances, discrimination against an employee as reprisal for the employee's disclosure of information related to gross mismanagement of a federal grant, a gross waste of federal funds, an abuse of authority relating to a federal grant, a substantial and specific danger to public health or safety, or a violation of law, rule, or regulation related to a federal grant.

The recipient also must inform its employees, in writing (and in the predominant native language of the workforce), of employee rights and remedies under 41 U.S.C. 4712.

4. Generally Accepted Laboratory Practices

Grantee shall ensure that any forensic laboratory, forensic laboratory system, medical examiner's office, or coroner's office that will receive any portion of the award uses generally accepted laboratory practices and procedures as established by accrediting organizations or appropriate certifying bodies.

5. External Investigations

Grantee shall ensure that the requirements of 42 U.S.C. section 3797k(4) (which relate to independent external investigations into allegations of serious negligence or misconduct by employees or contractors) are satisfied with respect to any forensic laboratory system, medical examiner's office, coroner's office, law enforcement storage facility, or medical facility in the State that will receive a portion of the grant amount.

Grantee acknowledges, that, as stated in the solicitation for the Paul Coverdell Forensic Science Improvement Grants Program, the National Institute of (NIJ) assumes that Grantee (and subgrantees) of Coverdell funds will make use of the process referenced in their certification as to external investigations and will refer allegations of serious negligence or misconduct substantially affecting the integrity of forensic results to government entities with an appropriate process in place to conduct independent external investigations, such as the government entity (or entities) identified in the grant application.

6. Use of Funds

No Research. Funds provided under this award shall be used only for the purposes and types of expenses set forth in the solicitation for the Paul Coverdell Forensic Science Improvement Grants Program. Funds shall not be used for general law enforcement functions or non-forensic investigatory functions, and shall not be used for research or statistical projects or activities. Use of award funds for construction of new facilities is restricted by statute. Any questions concerning this provision should be directed to the

CPJAD Criminal Justice Planning Specialist prior to incurring the expense or commencing the activity in question.

Grantee understands and agrees that it cannot use any federal funds, either directly or indirectly, in support of the enactment, repeal, modification or adoption of any laws, regulation or policy, at any level of government, without the express prior written approval of CPJAD.

7. Reporting Requirements and Performance Metrics

Grantee shall comply with all reporting, data collection and evaluation requirements, as prescribed by law and entailed by the NIJ in program guidance for the Coverdell program. The Grantee shall also complete and submit both semi-annual progress reports and final reports.

Semi-Annual Progress Reports

Grantee must utilize and complete the Progress Report Format Form, AG/CPJAD #20 (Coverdell), every six months following the calendar year. The progress reports are to cover activities that the Grantee has completed and must include data on the following Coverdell identified performance measures, as applicable:

| Goal/Objective | Performance Measures | Data Grantee Provides |
|---|---|--|
| To improve the quality and timeliness of forensic services and to reduce the number of backlogged cases in forensic laboratories. | <p>Outcome Measure</p> <p>1. Percent reduction in the average number of days from submission of a sample to a forensic science laboratory to the delivery of test results to a requesting agency.</p> <p>2. Percent reduction in the number of backlogged forensic cases.</p> <p>Output Measure</p> <p>The number of forensic science or medical examiner personnel who completed appropriate training or educational opportunities with Coverdell funds (if applicable to the grant)</p> | <p>Average number of days to process a sample at the beginning of the grant period.</p> <p>Average number of days to process a sample at the end of the grant period.</p> <p>Number of backlogged cases at the beginning of the grant period.</p> <p>Number of backlogged cases at the end of the grant period.</p> <p>Number of forensic science personnel attending training.</p> <p>Number of medical examiner personnel attending training programs.</p> |

The semi-annual reporting periods and due dates are:

| | |
|----------------------------|-----------------|
| January 1 through June 30 | Due: July 15 |
| July 1 through December 31 | Due: January 15 |

Final Report

Grantee agrees to submit a final report, at the end of this award, documenting all relevant project activities during the entire period of support under this award. This report will include the following: (1) a summary and assessment of the program carried out with the award, which shall include a comparison of pre-grant and post-grant forensic science capabilities (and shall cite the specific improvements in quality and/or timeliness of forensic science or medical examiner services); (2) the average number of days between submission of a sample to a forensic science laboratory or forensic science laboratory system in that State operated by the State or by a unit of local government and the delivery of test results to the requesting office or agency; and (3) an identification of the number and type of cases currently accepted by the forensic science laboratory or forensic science laboratory system. The Grantee is required to collect data necessary for this report. This report is due no later than 30 days following the close of the award period or the expiration of any extension periods.

Grantee shall submit the following information as part of its final report: (1) the number and nature of any allegations of serious negligence or misconduct substantially affecting the integrity of forensic results received during the 12-month period of the award; (2) information on the referrals of such allegations (e.g., the government entity or entities to which referred, the date of referral); (3) the outcome of such referrals (if known as of the date of the report); and (4) if any such allegations were not referred, the reason(s) for the non-referral.

Should the project period for this award be extended, the Grantee shall submit the above information as to the first twelve months of the award as part of the first semi-annual progress report that comes due after the conclusion of the first twelve months of the project period, and shall submit the required information as to subsequent twelve-month periods every twelve months thereafter (as part of a semi-annual progress report) until the close of the award period, at which point the Grantee shall submit the required information as to any period not covered by prior reports as part of its final report.

Grantee understands and agrees that funds may be withheld (including funds under future awards), or other related requirements may be imposed, if the required information is not submitted on a timely basis.

8. Press Releases

Grantee shall transmit to the CPJAD Criminal Justice Planning Specialist copies of all official grant-related press releases at least thirty (30) working days prior to public release. Advance notice permits time for coordination of release of information by CPJAD and NIJ where appropriate and to respond to press or public inquiries.

9. Development and Use of Publications, Curricula, Training Materials, etc.

To assist in information sharing, the Grantee shall provide the assigned CPJAD Criminal Justice Planning Specialist with a copy of publications (including those prepared for conferences and other presentations) resulting from this award, prior to their public release. NIJ defines publications as any written, visual, or sound material substantively based on the project, formally prepared by the Grantee for dissemination to the public. Submission of publications prior to their public release aids CPJAD and NIJ in responding to any inquiries that may arise. Any publications (written, visual, or sound) – excluding press releases and newsletters – whether published at the Grantee’s or government’s expense, shall contain the following statement:

“This project was supported by Award No. _____, awarded by the National Institute of Justice, Office of Justice Programs, U.S. Department of Justice. The opinions, finding, and conclusions or recommendations expressed in this publication/program/exhibition are those of the author(s) and do not necessarily reflect those of the Department of Justice or the Hawaii Department of the Attorney General.”

This statement shall appear on the first page of written publications. For audio and video publications, it shall be included immediately after the title of the publication in the audio or video file.

(*) Grantee should contact the assigned Specialist for the federal grant number.

10. Copyrights

Grantee acknowledges that the Office of Justice Programs reserves a royalty-free, non-exclusive, and irrevocable license to reproduce, publish, or otherwise use, and authorize others to use (in whole or in part, including in connection with derivative works), for Federal purposes: (1) the copyright in any work developed under an award or subaward; and (2) any rights of copyright to which a Grantee or subgrantee purchases ownership with Federal support.

Grantee acknowledges that the Office of Justice Programs has the right to (1) obtain, reproduce, publish, or otherwise use the data first produced under an award or subaward; and (2) authorize others to receive, reproduce, publish, or otherwise use such data for Federal purposes.

It is the responsibility of the Grantee (and of each subrecipient, if applicable) to ensure that this condition is included in any subaward under this award.

11. Federal Leadership on Reducing Text Messaging While Driving

Pursuant to Executive Order 13513, “Federal Leadership on Reducing Text Messaging While Driving,” 74 Fed. Reg. 51225 (October 1, 2009), the CPJAD encourages Grantees and subgrantees to adopt and enforce policies banning employees from text messaging while driving any vehicle during the course of performing work funded by this grant, and to establish workplace safety policies and conduct education, awareness, and other outreach to decrease crashes caused by distracted drivers.

12. Training(s)/Conference(s) Compliance

Grantee agrees to comply with all applicable laws, regulations, policies, and guidance (including specific cost limits, prior approval and reporting requirements, where applicable) governing the use of federal funds for expenses related to conferences, meetings, trainings, and other events. Information on pertinent laws, regulations, policies, and guidance is available in the DOJ Grants Financial Guide Conference Cost Chapter.

Grantee understands and agrees that any training or training materials developed or delivered with funding provided under this award must adhere to the OJP Training Guiding Principles for Grantees and Sub-grantees, available at <http://www.ojp.usdoj.gov/funding/ojptrainingguidingprinciples.htm>

13. Duplicate Award of Federal Funds

Grantee agrees that if it currently has an open award of federal funds or if it receives an award of federal funds other than this CPJAD award, and those award funds have been, are being, or are to be used, in whole or in part, for one or more of the identical cost items for which funds are being provided under this CPJAD award, the Grantee will promptly notify, in writing, the assigned Criminal Justice Planning Specialist for this CPJAD award, and, if so requested by CPJAD, seek a budget or project narrative modification to eliminate any inappropriate duplication of funding.

14. Restrictions and Certifications Regarding Non-Disclosure Agreements and Related Matters

No Grantee or subgrantee under this award, or entity that receives a contract or subcontract with any funds under this award, may require any employee or contractor to sign an internal confidentiality agreement or statement that prohibits or otherwise restricts, or purports to prohibit or restrict, the reporting (in accordance with law) of waste, fraud, or abuse to an investigative or law enforcement representative of a federal department or agency authorized to receive such information.

15. Prohibited Conduct Related to Trafficking in Persons:

Grantee, and any subgrantee at any tier, must comply with all applicable requirements (including requirements to report allegations) pertaining to prohibited conduct related to the trafficking of persons, whether on the part of grantees, subgrantees, or individuals defined (for purposes of this condition) as “employees” of the Grantee or of any subgrantee.

The details of the Grantee’s obligations related to prohibited conduct related to trafficking in persons are posted on the OJP web site at <http://ojp.gov/funding/Explore/ProhibitedConduct-Trafficking.htm> (Award condition: Prohibited conduct by Grantees and subgrantees related to trafficking in persons (including reporting requirements and OJP authority to terminate award)), and are incorporated by reference here.

16. General Appropriations-Law Restrictions

Grantee, and any subgrantee at any tier, must comply with all applicable restrictions on the use of federal funds set out in federal appropriations statutes. Pertinent restrictions, including from various “general provision” in the Consolidated Appropriations Act, 2016, are set out at <http://ojp.gov/funding/Explore/FY2016-AppropriationsLawRestrictions.htm> and are incorporated by reference here.

Should a question arise as to whether a particular use of federal funds by a Grantee or subgrantee would or might fall within the scope of an appropriations-law restriction, the Grantee is to contact CPJAD for guidance, and may not proceed without the express prior written approval of CPJAD.

17. Department of Justice Regulations Pertaining to Civil Rights and Nondiscrimination – 28 C.F.R. Part 38

Grantee, and any subgrantee at any tier, must comply with all applicable requirements of 28 C.F.R. Part 38, specifically including any applicable requirements regarding written notice to program beneficiaries and prospective program beneficiaries. Part 38 of 28 C.F.R., a DOJ regulation, was amended effective May 4, 2016.

Among other things, 28 C.F.R. Part 38 includes rules that prohibit specific forms of discrimination on the basis of religion, a religious belief, a refusal to hold a religious belief, or refusal to attend or participate in a religious practice. Part 38 also sets out rules and requirements that pertain to Grantee and subgrantee organizations that engage in or conduct explicitly religious activities, as well as rules and requirements that pertain to Grantees and subgrantees that are faith-based or religious organizations.

The text of the regulation, now entitled “Partnerships with Faith-Based and Other Neighborhood Organizations,” is available via the Electronic Code of Federal Regulations (currently accessible at <http://www.ecfr.gov/cgi-bin/ECFR?page=browse>), by browsing to Title 28-Judicial Administration, Chapter 1, Part 38, under e-CFR “current” data.

SUBMITTED BY:

Signature: _____ Date: _____

Name: _____ Title: _____

Agency: _____

DEPARTMENT OF THE ATTORNEY GENERAL
Crime Prevention and Justice Assistance Division

CERTIFICATION OF NON-SUPPLANTING

I certify that federal funds will not be used to supplant State, local or other non-federal funds that would, in the absence of such federal aid, be made available for law enforcement, criminal justice, and victim compensation and assistance activities.

SUBMITTED BY:

Signature: _____ Date: _____

Name: _____ Title: _____

Agency: _____

DEPARTMENT OF THE ATTORNEY GENERAL
Crime Prevention and Justice Assistance Division

CERTIFICATION OF NON-DISCRIMINATION

I certify that the applicant agency will comply with and will insure compliance by its subgrantees and contractors with the non-discrimination requirements of:

- The Omnibus Crime Control and Safe Streets Act of 1968, as amended, which prohibits discrimination on the basis of race, color, national origin, religion, or sex, in Office of Justice Programs, Office of Community Oriented Policing Services, and Office on Violence Against Women funded programs or activities. (42 U.S.C. §3789d and 28 C.F.R. §42.201 et seq.)
- Title VI of the Civil Rights Act of 1964, which prohibits discrimination on the basis of race, color or national origin in Office of Justice Programs, Office of Community Oriented Policing Services, and Office on Violence Against Women funded programs or activities. (42 U.S.C. §2000d and 28 C.F.R. §42.101 et seq.)
- Section 504 of the Rehabilitation Act, which prohibits discrimination on the basis of disability in Office of Justice Programs, Office of Community Oriented Policing Services, and Office on Violence Against Women funded programs or activities. (29 U.S.C. §794 and 28 C.F.R. §42.501 et seq.)
- Section 1407 of the Victims of Crime Act (VOCA), which prohibits discrimination on the basis of race, color, national origin, religion, sex, or disability in VOCA funded programs or activities. (42 U.S.C. §10604)
- Title II of the Americans with Disabilities Act of 1990, as it relates to discrimination on the basis of disability in Office of Justice Programs, Office of Community Oriented Policing Services, and Office on Violence Against Women funded programs or activities. (42 U.S.C. §12132 and 28 C.F.R. Pt. 35)
- Title IX of the Education Amendments of 1972, as it relates to discrimination on the basis of sex in Office of Justice Programs, Office of Community Oriented Policing Services, and Office on Violence Against Women funded training or educational programs. (20 U.S.C. §1681 and 28 C.F.R. Pt. 54)
- The Age Discrimination Act of 1975 as it relates to services discrimination on the basis of age in Office of Justice Programs, Office of Community Oriented Policing Services, and Office on Violence Against Women funded programs or activities. (42 U.S.C. §6102 and 28 C.F.R. §42.700 et seq.)
- Executive Order No. 13166 prohibiting discrimination of Limited English Proficient Persons.
- Executive Order No. 13279 and 28 C.F.R. pt. 38 regarding equal protection of the laws for faith-based organizations.
- The Violence Against Women Reauthorization Act of 2013, Pub. L. No. 113-4, 127 Stat. 54 § 3(b)(2013) which prohibits excluding, denying benefits to, or discriminating against any person on the basis of actual or perceived race, color, religion, national origin, sex, gender identity, sexual orientation, or disability in any program or activity funded in whole or in part with funds made available through VAWA or the Office on Violence Against Women. (42 U.S.C. § 13925(b)(13)).

No person shall, on the grounds of race, color, religion, national origin, sex, or disability, be excluded from participation in, be denied the benefits of, be subjected to discrimination under, or be denied employment in connection with any program or activity funded in whole or in part with funds made available under this title from the U.S. Department of Justice through the Department of the Attorney General, Crime Prevention and Justice Assistance Division. Noncompliance with the discrimination regulations may result in the suspension or termination of funding.

SUBMITTED BY:

Signature: _____ Date: _____
Name: _____ Title: _____
Agency: _____

DEPARTMENT OF THE ATTORNEY GENERAL
Crime Prevention and Justice Assistance Division

CERTIFICATION OF NON-DISCRIMINATION COMPLAINT PROCEDURES

The U.S. Department of Justice, Office of Justice Programs (OJP), Office for Civil Rights (OCR) has jurisdiction to investigate complaints of discrimination against recipients of funding from OJP (which includes component agencies such as the Bureau of Justice Assistance, the Office for Victims of Crime, and the National Institute of Justice), Office on Violence Against Women, and the COPS Office. OCR has indicated that recipients and subrecipients of federal funding should have non-discrimination complaint procedures. Therefore,

I certify that the _____ (name of agency) has non-discrimination complaint procedures which include:

- (1) a coordinator who is responsible for overseeing the complaint process. The agency's coordinator is:

| _____ | _____ | _____ |
|-------|-------|-------|
| Name | Title | Phone |

- (2) a procedure to ensure that beneficiaries or employees of funded subrecipients are aware that they may complain of discrimination directly to a subrecipient, to the Department of the Attorney General, or to the Office for Civil Rights.
- (3) a procedure to investigate the complaint. (The procedure may be an internal investigation or forwarding the complaint to the Department of the Attorney General, the OCR, or another appropriate external agency.)
- (4) a procedure to notify the Department of the Attorney General, Crime Prevention and Justice Assistance Division of the complaint. (The Department will forward the complaint information to OCR and may conduct an investigation of the complaint.)
- (5) a procedure to notify the Department of the Attorney General of the findings of the investigation.

SUBMITTED BY:

Signature: _____ Date: _____

Name: _____ Title: _____
(Head of Agency or Designee)

CERTIFICATION FORM

Compliance with the Equal Employment Opportunity Plan (EEOP) Requirements

Please read carefully the Instructions (see below) and then complete Section A or Section B or Section C, not all three. If recipient completes Section A or C and sub-grants a single award over \$500,000, in addition, please complete Section D.

| | |
|---|--|
| Recipient's Name: | |
| Address: | |
| Is agency a; <input type="checkbox"/> Direct or <input type="checkbox"/> Sub recipient of OJP, OVW or COPS funding? | Law Enforcement Agency? <input type="checkbox"/> Yes <input type="checkbox"/> No |
| DUNS Number: | Vendor Number (only if direct recipient) |
| Name and Title of Contact Person: | |
| Telephone Number: | E-Mail Address: |

Section A—Declaration Claiming Complete Exemption from the EEOP Requirement

Please check all the following boxes that apply.

- | | | |
|---|--|--|
| <input type="checkbox"/> Less than fifty employees. | <input type="checkbox"/> Indian Tribe | <input type="checkbox"/> Medical Institution. |
| <input type="checkbox"/> Nonprofit Organization | <input type="checkbox"/> Educational Institution | <input type="checkbox"/> Receiving a single award(s) less than \$25,000. |

I, _____ [responsible official], certify that _____ [recipient] is not required to prepare an EEOP for the reason(s) checked above, pursuant to 28 C.F.R § 42.302. I further certify that _____ [recipient] will comply with applicable federal civil rights laws that prohibit discrimination in employment and in the delivery of services.

If recipient sub-grants a single award over \$500,000, in addition, please complete Section D

Print or Type Name and Title

Signature

Date

Section B—Declaration Claiming Exemption from the EEOP Submission Requirement and Certifying That an EEOP Is on File for Review

If a recipient agency has fifty or more employees and is receiving a single award or, subaward, of \$25,000 or more, but less than \$500,000, then the recipient agency does not have to submit an EEOP to the OCR for review as long as it certifies the following (42 C.F.R. § 42.305):

I, _____ [responsible official], certify that _____ [recipient], which has fifty or more employees and is receiving a single award or subaward for \$25,000 or more, but less than \$500,000, has formulated an EEOP in accordance with 28 CFR pt. 42, subpt. E. I further certify that within the last twenty-four months, the proper authority has formulated and signed into effect the EEOP and, as required by applicable federal law, it is available for review by the public, employees, the appropriate state planning agency, and the Office for Civil Rights, Office of Justice Programs, U.S. Department of Justice. The EEOP is on file at the following office:

[organization],

[address].

Print or Type Name and Title

Signature

Date

Section C—Declaration Stating that an EEOP Short Form Has Been Submitted to the Office for Civil Rights for Review

If a recipient agency has fifty or more employees and is receiving a single award, or subaward, of \$500,000 or more, then the recipient agency must send an EEOP Short Form to the OCR for review.

I, _____ [responsible official], certify that _____ [recipient], which has fifty or more employees and is receiving a single award of \$500,000 or more, has formulated an EEOP in accordance with 28 CFR pt. 42, subpt. E, and sent it for review on _____ [date] to the Office for Civil Rights, Office of Justice Programs, U.S. Department of Justice.

If recipient sub-grants a single award over \$500,000, in addition, please complete Section D

Print or Type Name and Title

Signature

Date

INSTRUCTIONS

Completing the Certification Form

Compliance with the Equal Employment Opportunity Plan (EEOP) Requirements

The federal regulations implementing the Omnibus Crime Control and Safe Streets Act (Safe Streets Act) of 1968, as amended, require some recipients of financial assistance from the U.S. Department of Justice subject to the statute's administrative provisions to create, keep on file, submit to the Office for Civil Rights (OCR) at the Office of Justice Programs (OJP) for review, and implement an Equal Employment Opportunity Plan (EEOP). *See* 28 C.F.R. pt. 42, subpt. E. All awards from the Office of Community Oriented Policing Services (COPS) are subject to the EEOP requirements; many awards from OJP, including awards from the Bureau of Justice Assistance (BJA), the Office of Juvenile Justice and Delinquency Prevention (OJJDP), and the Office for Victims of Crime (OVC) are subject to the EEOP requirements; and many awards from the Office on Violence Against Women (OVW) are also subject to the EEOP requirements. If you have any questions as to whether your award from the U.S. Department of Justice is subject to the Safe Streets Act's EEOP requirements, please consult your grant award document, your program manager, or the OCR.

Recipients should complete *either* Section A *or* Section B *or* Section C, not all three. If recipient completes Section A *or* C and sub-grants a single award over \$500,000, in addition, please complete Section D.

Section A

The regulations exempt some recipients from all of the EEOP requirements. Your organization may claim an exemption from all of the EEOP requirements if it meets any of the following criteria: it is a nonprofit organization, an educational institution, a medical institution, or an Indian tribe; *or* it received an award under \$25,000; *or* it has less than fifty employees. To claim the complete exemption from the EEOP requirements, complete Section A.

Section B

Although the regulations require some recipients to create, maintain on file, and implement an EEOP, the regulations allow some recipients to forego submitting the EEOP to the OCR for review. Recipients that (1) are a unit of state or local government, an agency of state or local government, or a private business; *and* (2) have fifty or more employees; *and* (3) have received a single grant award of \$25,000 or more, but less than \$500,000, may claim the limited exemption from the submission requirement by completing Section B. In completing Section B, the recipient should note that the EEOP on file has been prepared within twenty-four months of the date of the most recent grant award.

Section C

Recipients that (1) are a unit of state or local government, an agency of state or local government, or a private business, *and* (2) have fifty or more employees, *and* (3) have received a single grant award of \$500,000 or more, must prepare, maintain on file, *submit to the OCR for review*, and implement an EEOP. Recipients that have submitted an EEOP Utilization Report (or in the process of submitting one) to the OCR, should complete Section C.

Section D

Recipients that (1) receive a single award over \$500,000; *and* (2) subaward a single award of \$500,000 or more must provide a list; including, name, address and DUNS # of each such sub-recipient by completing Section D.

Submission Process

Recipients should download the online Certification Form, complete required sections, have the appropriate official sign it, electronically scan the signed document, and then send the signed document to the following e-mail address: EEOPForms@usdoj.gov. *The document must have the following title: EEOP Certification.* If you have questions about completing or submitting the Certification Form, please contact the Office for Civil Rights, Office of Justice Programs, 810 7th Street, NW, Washington, DC 20531 (Telephone: (202) 307-0690 and TTY: (202) 307-2027).

Public Reporting Burden Statement

Paperwork Reduction Act Notice. Under the Paperwork Reduction Act, a person is not required to respond to a collection of information unless it displays a current valid OMB control number. We try to create forms and instructions that are accurate, can be easily understood, and which impose the least possible burden on you to provide us with information. The estimated minimum average time to complete and file this application is 20 minutes per form. If you have any comments regarding the accuracy of this estimate, or suggestions for making this form simpler, you can write to the Office of Justice Programs, 810 7th Street, N.W., Washington, D.C. 20531.



U.S. DEPARTMENT OF JUSTICE
OFFICE OF JUSTICE PROGRAMS
OFFICE OF THE COMPTROLLER

**Certification Regarding
Debarment, Suspension, Ineligibility and Voluntary Exclusion
Lower Tier Covered Transactions
(Sub-Recipient)**

This certification is required by the regulations implementing Executive Order 12549, Debarment and Suspension, 28 CFR Part 67, Section 67.510, Participants' responsibilities. The regulations were published as Part VII of the May 26, 1988 *Federal Register* (pages 19160-19211).

(BEFORE COMPLETING CERTIFICATION, READ INSTRUCTIONS ON REVERSE)

- (1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.
- (2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

Name and Title of Authorized Representative

Signature

Date

Name of Organization

Address of Organization

Instructions for Certification

- 1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.**
- 2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.**
- 3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.**
- 4. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, have the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549.**
- 5. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.**
- 6. The prospective lower tier participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion—Lower Tier Covered Transactions," without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.**
- 7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may check the Nonprocurement List.**
- 8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.**
- 9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.**

DEPARTMENT OF THE ATTORNEY GENERAL
Crime Prevention and Justice Assistance Division

INSTRUCTIONS

CERTIFICATION REGARDING DRUG-FREE WORKPLACE REQUIREMENTS
(AG/CPJAD #16)

1. By signing and/or submitting this application or grant agreement, the grantee, is providing the certification set out on the form entitled Crime Prevention and Justice Assistance Division, Department of the Attorney General, Certification Regarding Drug-Free Workplace Requirements (hereinafter referred to as the AG/CPJAD Form #16).
2. The certification set out on AG/CPJAD Form #16 is a material representation of fact upon which reliance will be placed when the Department of the Attorney General, State of Hawaii (hereinafter referred to as “grantor”) determines to subgrant federal funds to the grantee. Pursuant to the contract which grantor will offer grantee in the event a subgrant is awarded to grantee, false certification or violation of the conditions set forth in the certification shall be grounds for suspension of payments, or suspension or termination of the subgrant. Such false certification or violation of the conditions contained in the certification shall subject the State of Hawaii to governmentwide suspension or debarment, which shall, in turn, result in the withdrawal of funds from the grantee and/or the unavailability of future funding for the grantee.

DEPARTMENT OF THE ATTORNEY GENERAL
Crime Prevention and Justice Assistance Division

CERTIFICATION REGARDING DRUG-FREE WORKPLACE REQUIREMENTS

I. _____(hereinafter referred to as “grantee”) certifies that it will provide a drug-free workplace by:

- (a) publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the grantee’s workplace and specifying the actions that will be taken against employees for violation of such prohibition;
- (b) establishing a drug-free awareness program to inform employees about:
 - (1) the dangers of drug abuse in the workplace;
 - (2) the grantee’s policy of maintaining a drug-free workplace;
 - (3) any available drug counseling, rehabilitation, and employee assistance programs; and
 - (4) the penalties that may be imposed upon employees for drug abuse violations;
- (c) making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);
- (d) notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will:
 - (1) abide by the terms of the statement; and
 - (2) notify the employer of any criminal drug statute conviction for a violation occurring in the workplace not later than five (5) days after such conviction;
- (e) notifying the Department of the Attorney General, State of Hawaii, within ten (10) days after receiving notice under subparagraph (d) (2) from an employee or otherwise receiving actual notice of such conviction;
- (f) taking one of the following actions with respect to any employee who is so convicted:
 - (1) taking appropriate personnel action against such an employee, up to and

including termination; or

- (2) requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;
- (g) making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).

II. The grantee shall insert in the space provided below the site(s) for the performance of work done in connection with this specific grant:

| | |
|-----------------------|-----------------------|
| _____ | _____ |
| Street Address | Street Address |
| _____ | _____ |
| City, State, Zip Code | City, State, Zip Code |
| _____ | _____ |
| County | County |

SUBMITTED BY:

Signature: _____ Date: _____

Name: _____ Title: _____

Agency: _____

DEPARTMENT OF THE ATTORNEY GENERAL
Crime Prevention and Justice Assistance Division

CERTIFICATION REGARDING LOBBYING

Each person shall file the most current edition of this certification and disclosure form, if applicable, with each submission that initiates agency consideration of such person for an award of a Federal contract, grant, or cooperative agreement of \$100,000 or more; or Federal loan of \$150,000 or more.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

The undersigned certifies, to the best of his or her knowledge and belief, that:

- (1) No Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any Federal agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan or cooperative agreement.
- (2) If any non-Federal funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any Federal agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall initial here ____ and complete and submit Standard Form # LLL, A Disclosure of Lobbying Activities, in accordance with its instructions.
- (3) Recipient understands and agrees that it cannot use any Federal funds, either directly or indirectly, in support of the enactment, repeal, modification, or adoption of any law, regulation or policy, at any level of government, without the express prior written approval of the U.S. Department of Justice, Office of Justice Programs.
- (4) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers and that all subrecipients shall certify and disclose accordingly.

SUBMITTED BY:

Signature: _____
Name: _____
Title: _____

Date: _____
Project No: _____

Name and Address of Organization

Name of OJP Agency

DEPARTMENT OF THE ATTORNEY GENERAL
Crime Prevention and Justice Assistance Division

CERTIFICATION OF 10% DE MINIMIS INDIRECT COST RATE

Any Grantee that proposes to use federal grant funds to pay for indirect costs but has never received a federally negotiated indirect cost rate may elect to charge a de minimis rate of 10% of its modified total direct costs (MTDC) which may be used indefinitely. (2 CFR § 200.414) In order to charge a de minimis rate of 10% of its MTDC, the Grantee must submit this certification form to the Department of the Attorney General.

I certify that the _____ (name of Grantee) meets the following eligibility criteria to use the 10% de minimis indirect cost rate:

1. The Grantee has never received a Federally-negotiated indirect cost rate for any federal awards.
2. The Grantee has received less than \$35 million in direct federal funding for the fiscal year requested.

In addition, the undersigned certifies on behalf of the Grantee that:

1. The de minimis rate of 10% will be applied to the Modified Total Direct Costs (MTDC) which means all direct salaries and wages, applicable fringe benefits, materials and supplies, services, travel, and up to the first \$25,000 of each subaward (regardless of the period of performance of the subawards under the award).
2. The MTDC will exclude equipment, capital expenditures, rental costs, and the portion of each subaward in excess of \$25,000. Other items will only be excluded when necessary to avoid a serious inequity in the distribution of indirect costs, and with the approval of the cognizant agency for indirect costs.
3. The project costs will be consistently charged as either indirect or direct and will not be double charged or inconsistently charged as both.
4. The documentation to support the methodology (as set forth in 2 CFR Part 200.403) used to determine the MTDC (as set forth in 2 CFR Part 200.68) will be provided as part of the Grantee's budget.
5. The proper use and application of the de minimis rate is the responsibility of _____ (name of Grantee). The Department of the Attorney General may perform an audit to ensure compliance with 2 CFR Part 200. If it is determined that the Grantee is inconsistently charging costs, or is not in compliance with 2 CFR Part 200, the Grantee may be required to return grant funds.

SUBMITTED BY:

Signature: _____

Date: _____

Name: _____

Title: _____

(Head of Grantee Agency or Designee)

U.S. DEPARTMENT OF JUSTICE
OFFICE OF JUSTICE PROGRAMS
NATIONAL INSTITUTE OF JUSTICE

**FY 2016 Coverdell Forensic Science Improvement
Grants Program**

Certification as to Plan for Forensic Science Laboratories—
Application from a **State**

On behalf of the applicant agency named below, I certify the following to the National Institute of Justice, Office of Justice Programs, U.S. Department of Justice:

The State has developed a plan for forensic science laboratories under a program intended to improve the quality and timeliness of forensic science or medical examiner services in the State, including such services provided by the laboratories operated by the State and those operated by units of local government within the State.

I acknowledge that a false statement in this certification or in the grant application that it supports may be the subject of criminal prosecution, including under 18 U.S.C. § 1001 and 42 U.S.C. § 3795a. I also acknowledge that Office of Justice Programs grants, including certifications provided in connection with such grants, are subject to review by the Office of Justice Programs and/or by the Department of Justice's Office of the Inspector General.

I have authority to make this certification on behalf of the applicant agency (that is, the agency applying directly to the National Institute of Justice).

Signature of Certifying Official

Printed Name of Certifying Official

Title of Certifying Official

Name of Applicant Agency (Including Name of State)

Date

U.S. DEPARTMENT OF JUSTICE
OFFICE OF JUSTICE PROGRAMS
NATIONAL INSTITUTE OF JUSTICE

**FY 2016 Coverdell Forensic Science Improvement
Grants Program**

Certification as to Plan for Forensic Science Laboratories—
Application from a **Unit of Local Government**

On behalf of the applicant agency named below, I certify the following to the National Institute of Justice, Office of Justice Programs, U.S. Department of Justice:

This unit of local government has developed a plan for forensic science laboratories under a program intended to improve the quality and timeliness of forensic science or medical examiner services provided by the laboratories operated by the applicant unit of local government and any other government-operated laboratories within the State that will receive a portion of the grant amount.

I acknowledge that a false statement in this certification or in the grant application that it supports may be the subject of criminal prosecution, including under 18 U.S.C. § 1001 and 42 U.S.C. § 3795a. I also acknowledge that Office of Justice Programs grants, including certifications provided in connection with such grants, are subject to review by the Office of Justice Programs and/or by the Department of Justice's Office of the Inspector General.

I have authority to make this certification on behalf of the applicant agency (that is, the agency applying directly to the National Institute of Justice).

Signature of Certifying Official

Printed Name of Certifying Official

Title of Certifying Official

Name of Applicant Agency
(Including Name of Unit of Local Government)

Date

U.S. DEPARTMENT OF JUSTICE
OFFICE OF JUSTICE PROGRAMS
NATIONAL INSTITUTE OF JUSTICE

**FY 2016 Coverdell Forensic Science Improvement
Grants Program**

Certification as to Generally Accepted Laboratory
Practices and Procedures

On behalf of the applicant agency named below, I certify the following to the National Institute of Justice, Office of Justice Programs, U.S. Department of Justice:

Any forensic science laboratory system, medical examiner's office, or coroner's office in the State, including any laboratory operated by a unit of local government within the State, that will receive any portion of the grant amount uses generally accepted laboratory practices and procedures, established by accrediting organizations or appropriate certifying bodies.

I acknowledge that a false statement in this certification or in the grant application that it supports may be the subject of criminal prosecution, including under 18 U.S.C. § 1001 and 42 U.S.C. § 3795a. I also acknowledge that Office of Justice Programs grants, including certifications provided in connection with such grants, are subject to review by the Office of Justice Programs and/or by the Department of Justice's Office of the Inspector General.

I have authority to make this certification on behalf of the applicant agency (that is, the agency applying directly to the National Institute of Justice).

Signature of Certifying Official

Printed Name of Certifying Official

Title of Certifying Official

Name of Applicant Agency
(Including Name of State or Unit of Local Government)

Date

U.S. DEPARTMENT OF JUSTICE
OFFICE OF JUSTICE PROGRAMS
NATIONAL INSTITUTE OF JUSTICE

**FY 2016 Coverdell Forensic Science Improvement
Grants Program**

Certification as to Use of Funds for New Facilities

On behalf of the applicant agency named below, I certify the following to the National Institute of Justice, Office of Justice Programs, U.S. Department of Justice:

The amount of the grant (if any) used for the costs of any new facility or facilities to be constructed as part of a program to improve the quality and timeliness of forensic science and medical examiner services will not exceed the limitations set forth at 42 U.S.C. § 3797m(c) and summarized in the FY 2016 Coverdell Forensic Science Improvement Grants Program Announcement.

I acknowledge that a false statement in this certification or in the grant application that it supports may be the subject of criminal prosecution, including under 18 U.S.C. § 1001 and 42 U.S.C. § 3795a. I also acknowledge that Office of Justice Programs grants, including certifications provided in connection with such grants, are subject to review by the Office of Justice Programs and/or by the Department of Justice's Office of the Inspector General.

I have authority to make this certification on behalf of the applicant agency (that is, the agency applying directly to the National Institute of Justice).

Signature of Certifying Official

Printed Name of Certifying Official

Title of Certifying Official

Name of Applicant Agency
(Including Name of State or Unit of Local Government)

Date

U.S. DEPARTMENT OF JUSTICE
OFFICE OF JUSTICE PROGRAMS
NATIONAL INSTITUTE OF JUSTICE

**FY 2016 Coverdell Forensic Science Improvement
Grants Program**

Certification as to External Investigations

On behalf of the applicant agency named below, I certify the following to the National Institute of Justice, Office of Justice Programs, U.S. Department of Justice:

A government entity exists and an appropriate process is in place to conduct independent external investigations into allegations of serious negligence or misconduct substantially affecting the integrity of the forensic results committed by employees or contractors of any forensic laboratory system, medical examiner's office, coroner's office, law enforcement storage facility, or medical facility in the State that will receive a portion of the grant amount.

I personally read and reviewed the section entitled "Eligibility" in the Fiscal Year 2016 program announcement for the Coverdell Forensic Science Improvement Grants Program. I acknowledge that a false statement in this certification or in the grant application that it supports may be the subject of criminal prosecution, including under 18 U.S.C. § 1001 and 42 U.S.C. § 3795a. I also acknowledge that Office of Justice Programs grants, including certifications provided in connection with such grants, are subject to review by the Office of Justice Programs and/or by the Department of Justice's Office of the Inspector General.

I have authority to make this certification on behalf of the applicant agency (that is, the agency applying directly to the National Institute of Justice).

Signature of Certifying Official

Printed Name of Certifying Official

Title of Certifying Official

Name of Applicant Agency
(Including Name of State or Unit of Local Government)

Date

FY 2016 Coverdell Forensic Science Improvement Grants Program

Attachment: External Investigations

The “Certification as to External Investigations” that is submitted on behalf of the applicant agency as part of this application certifies that—

A government entity exists and an appropriate process is in place to conduct independent external investigations into allegations of serious negligence or misconduct substantially affecting the integrity of the forensic results committed by employees or contractors of any forensic laboratory system, medical examiner's office, coroner's office, law enforcement storage facility, or medical facility in the State that will receive a portion of the grant amount.

Prior to receiving funds, the applicant agency (that is, the agency applying directing to the National Institute of Justice) must provide—for each forensic laboratory system, medical examiner's office, coroner's office, law enforcement storage facility, or medical facility that will receive a portion of the grant amount—the name of the “government entity” (or entities) that forms the basis for the certification. Please use the template below to provide this information. (Applicants may adapt this template if necessary, but should ensure that the adapted document provides all required information.)

IMPORTANT NOTE: If necessary for accuracy, list more than one entity with respect to each intended recipient of a portion of the grant amount. For example, if no single entity has an appropriate process in place with respect to allegations of serious negligence as well as serious misconduct, it will be necessary to list more than one entity. Similarly, if no single entity has an appropriate process in place with respect to allegations concerning contractors as well as employees, it will be necessary to list more than one entity.

Additional guidance regarding the “Certification as to External Investigations” appears in the “Eligibility” section of the program announcement for the FY 2016 Coverdell program.

Name of Applicant Agency (including Name of State or Unit of Local Government):

Date: _____

Name of any forensic laboratory system, medical examiner's office, coroner's office, law enforcement storage facility, or medical facility that will receive a portion of the grant amount

Existing government entity (entities) with an appropriate process in place to conduct independent external investigations

1. _____

2. _____

FY 2016 External Investigations Attachment (continued)

Name of Applicant Agency: _____

| | |
|----------|-------|
| 3. _____ | _____ |
| | _____ |
| 4. _____ | _____ |
| | _____ |
| 5. _____ | _____ |
| | _____ |
| 6. _____ | _____ |
| | _____ |
| 7. _____ | _____ |
| | _____ |

APPENDIX C

**MISCELLANEOUS CRIME PREVENTION
AND JUSTICE ASSISTANCE DIVISION FORMS**

DEPARTMENT OF THE ATTORNEY GENERAL
Crime Prevention and Justice Assistance Division

PRIVACY CERTIFICATION

This certification is submitted in compliance with the Department of Justice regulations governing confidentiality of research/statistical information (28 CFR Part 22, 12/15/76).

For National Institute of Justice (NIJ) grants, a Privacy Certificate must be submitted as part of ALL applications that contain a research or statistical component regardless of whether the project involves the collection of identified data. In cases where no personally identifiable information will be collected, this form is considered complete following insertion of the project description and the phrase "No data identifiable to a private person will be collected here." All other questions should be answered as "Not applicable since this study is not collecting identifiable data." The form must be signed and dated.

GRANTEE: _____

PROJECT TITLE: _____

PROJECT NUMBER: _____

Grantee¹, _____, certifies that the data *identifiable to a private person*² will not be used or revealed, except as authorized in 28 CFR Part 22, Sections 22.21 & 22.2.

Brief Description of Project (required by 28 CFR §22.23(b):

Grantee certifies that any private person from whom identifiable information is collected or obtained shall be notified, in accordance with 28 CFR §22.27, that such data will only be used or revealed for research or statistical purposes and that compliance with the request for information is not mandatory and participation in the project maybe terminated at any time. In addition, grantee certifies that where findings in a project cannot, by virtue of sample size or uniqueness of

subject, be expected to totally conceal the identity of an individual, such individual shall be so advised.

Procedures to notify subjects that such data will only be used or revealed for research or statistical purposes and that compliance with the request for information is not mandatory and participation in the project may be terminated at any time as required by 28 CFR §22.23(b)(4):

NOTE: Informed consent procedures and forms as approved by the IRB should be attached.

If notification of subjects is to be waived, pursuant to 28 CFR §22.27(c), please provide a justification:

Grantee certifies that project plans will be designed to preserve the confidentiality of private persons to whom information relates, including where appropriate, name-stripping, coding of data, or other similar procedures.

Procedures developed to preserve the confidentiality of personally identifiable information, as required by 28 CFR §22.23(b)(7):

Grantee certifies that, if applicable, a log will be maintained indicating that (1) identifiable data have been transferred to persons other than employees of NIJ, BJA, BJS, OJJDP, OVC, OJP, OVW, or grantee/contractor/subcontractor staff; and (2) such data have been returned or that alternative arrangements have been agreed upon for future maintenance of such data, in accordance with 28 CFR §22.23(b)(6).

Justification for the collection and/or maintenance of any data in identifiable form, if applicable:

Procedures for data storage, as required by 28 CFR §22.23(b)(5):

Grantee certifies that all contractors, subcontractors, and consultants requiring access to identifiable data will agree, through conditions in their subcontract or consultant agreement, to comply with the requirements of 28 CFR §22.24, regarding information transfer agreements. Grantee also certifies that CPJA will be provided with copies of any and all transfer agreements before they are executed as well as the name and title of the individual(s) with the authority to transfer data.

Description of any institutional limitations or restrictions on the transfer of data in identifiable form, if applicable:

Name and title of individual with the authority to transfer data:

Grantee certifies that access to the data will be limited to those employees having a need for such data and that such employees shall be advised of and agree in writing to comply with the regulations in 28 CFR Part 22.

Grantee certifies that all project personnel, including subcontractors, have been advised of and have agreed, in writing, to comply with all procedures to protect privacy and the confidentiality of personally identifiable information.

Access to data is restricted to the following individuals, as required by 28 CFR §22.23(b)(2):

Principal Investigator(s)

Project staff, contractors, subcontractors, and/or consultants

Grantee certifies that adequate precautions will be taken to ensure administrative and physical security of identifiable data and to preserve the confidentiality of the personally identifiable information.

Procedures to ensure the physical and administrative security of data, as required by 28 CFR §22.25(b), including, if applicable, a description of those procedures used to secure a name index:

Procedures for the final disposition of data, as required by 28 CFR §22.25:

Name and title of individual authorized to determine the final disposition of data:

Grantee certifies that copies of all questionnaires, informed consent forms and informed consent procedures designed for use in the project are attached to this Privacy Certification.

Grantee certifies that project findings and reports prepared for dissemination will not contain information which can reasonably be expected to be identifiable to a private person, except as authorized by 28 CFR §22.22.

Grantee certifies that the procedures described above are correct and shall be carried out.

Grantee certifies that the project will be conducted in accordance with all the requirements of the Omnibus Crime Control and Safe Streets Act of 1968 as amended and the regulations contained in 28 CFR Part 22.

Grantee certifies that CPJA shall be notified of any material change in any of the information provided in this Privacy Certification.

Notes:

¹Please include the name of the Principal Investigator(s) for this project as well as the name of the grantee organization on line 1. In the signature blocks, the PI(s) should sign, as well as the person representing the institution receiving the grant funds. Where a research project involves human subjects, the chair of the Institutional Review Board (IRB) should sign as authorizing official.

²*Information identifiable to a private person* is defined in 28 CFR section 22.2(e) as “information which either -- (1) Is labeled by name or other personal identifiers, or (2) Can, by virtue of sample size or other factors, be reasonably interpreted as referring to a particular person.”

Signature(s):

Principal Investigator: _____ Date: _____

Principal Investigator: _____ Date: _____

Institutional Representative: _____ Date: _____

DEPARTMENT OF THE ATTORNEY GENERAL
Crime Prevention and Justice Assistance Division

TRANSFER AGREEMENT

This agreement is prepared in accordance with the Department of Justice regulations governing confidentiality of research/statistical information (28 CFR Part 22, 12/25/76).

Name of Individual or Organization to Which the Information is Being Transferred (Transferee)

Title of Project for Which Data Will be Used

Project Number

Title of Project for Which Information was Originally
Complied, Obtained, or Used

Project Number

1. Describe the research/statistical component of the intended project and provide a statement of how the project will be designed to preserve the anonymity of private persons to whom the information to be transferred relates.

2. Describe the administrative and physical precautions that will be taken by transferee to assure the security of information obtained.

3. Describe the procedures for the final disposition of the information transferred in accordance with Section 22.24 (h).

DEPARTMENT OF THE ATTORNEY GENERAL
Crime Prevention and Justice Assistance Division

CERTIFICATION FOR TITLE TO PROPERTY

This certifies that all expendable and non-expendable personal property purchased with federal funds by _____, (agency) will be used for criminal justice purposes.

(SEE ATTACHED LIST)

SUBMITTED BY:

Signature: _____ Date: _____

Name: _____ Title: _____

Agency: _____

DEPARTMENT OF THE ATTORNEY GENERAL
Crime Prevention and Justice Assistance Division

COVERDELL PROGRESS REPORT

Project No.: _____ Project Title: _____

Agency: _____

Person Completing Report: _____ Phone: _____

Project Period: _____ to _____

Report Period: _____ to _____

Date of Report: _____

INTRODUCTION:

This progress report form is meant to serve as a live reporting document throughout the existence of your agency's award. **This document is to be saved. For each reporting period (semi-annually) the new information is to be added to the saved document and the updated document is to be saved and submitted as an attachment to our office.** At the end of the award, all of the award information will be in one document and will be easy to reference and compare performance metrics and changes/progress between reporting periods.

There are two main sections in this document; 1) Performance Measures and 2) Narrative. Please see instructions for each section below. Note that this template has reporting periods listed for the one year award period. If unforeseen difficulties arise and the Coverdell Program Manager grants a justified project period extension, additional columns need to be added to the metric table and additional narrative sections need to be appended to this document.

PERFORMANCE MEASURES:

This table captures the performance metrics over the course of the award. When it is time to submit a progress report, open this document and add the performance metrics for the reporting period in the respective column. By the end of the award period, all of the information captured during each reporting period will be in one document. In this document, only insert the *numbers* in this table, not labels. For example, "10"; not "10 samples". Also, only report one number for all of the entities and disciplines under this award in the table. For example, "30"; not "20 for Firearms Section and 10 for DNA Section." These details are requested in the narrative section of the report. We are unable to do any analysis if the metrics are not reported in the same manner across the grantees. Note: grantee results are not compared against one another.

For the Final Report, insert the cumulative metrics into the Final column in the chart as well as the metrics for the months not covered by the last regular report in the appropriate column.

PERFORMANCE METRIC TABLE

| <i>Performance Metric</i> | <i>Start of the grant</i> | <i>Report 1 period: January – June Year</i> | <i>Report 2 period: July – December Year</i> | <i>Final Report</i> |
|---|---------------------------|---|--|---------------------|
| 1. At the beginning of the grant period, the number of days between submission of a sample to a forensic science laboratory and delivery of test results to a requesting office or agency | | | | |
| 2. At the end of this reporting period , the average number of days between submission of a sample to a forensic lab and delivery of test results to requesting office or agency | | | | |
| 3. At the end of this reporting period , the change in the number of days between submission of a sample to a forensic lab and delivery of test results to requesting office or agency | | | | |
| 4. Number of backlogged cases at the beginning of the grant period | | | | |
| 5. At the end of the reporting period ,the number of backlogged cases | | | | |
| 6. The number of backlogged forensic cases analyzed with Coverdell funds (if applicable to the grant) in this reporting period | | | | |
| 7. Number of medical examiner personnel attending training programs (if applicable to the grant) in this reporting period | | | | |
| 8. Number of forensic science personnel attending training (if applicable to the grant) in this reporting period | | | | |

NARRATIVE SECTION:

Instructions:

The narrative section of the progress report consists of the 1) goals and objectives of the award, and 2) the progress during each reporting period. The first section will list all the goals and objectives of the project when the report is created for the first reporting period and this section will only be updated if there is a change in the goals and objectives. **If there is a change made in the goals and objectives, please make a note in the narrative for the period in which the change occurred and update the Goals and Objectives section.** An easy way to complete this section is to copy and paste the Goals and Objectives from the application into this document.

The narrative for each reporting period (there are separate pages for each period), should provide a clear picture of how funds were utilized over the course of that reporting period. While the narrative can include a discussion of the performance metrics, there should be more to the content than just a rehash of the metrics. If no activity occurred, an explanation needs to be detailed in this narrative section.

Each narrative should also include challenges incurred, changes made to the project, successes, etc. Although only one page space is provided for each Progress Report section, please feel free to use more space as needed. Any charts or tables that accompany the narrative can be included in the sections below as well.

If there has been any activity funded under this award that had media coverage, please attach copies of those articles to our office, or provide a link to media articles in this report.

For the Final report, please enter a narrative that provides an overview of the successes and challenges of this entire project in the very last narrative section.

GOALS AND OBJECTIVES OF PROJECT:

Narratives

- A brief description of the program

Goals and Objectives

Progress Report 1 (January - June YEAR):

- List each goal and objective and describe the progress made towards achieving EACH of them
- Describe the program activities completed this reporting period
- Report on performance indicators that document the accomplishment of the objectives
- Describe any problems encountered, how they impacted the program and how they were resolved

Progress Report 2 (June - December YEAR):

- List each goal and objective and describe the progress made towards achieving EACH of them
- Describe the program activities completed this reporting period
- Report on performance indicators that document the accomplishment of the objectives
- Describe any problems encountered, how they impacted the program and how they were resolved

Final Progress Report (ending of project):

- A summary and assessment of the program carried out with the grant, which shall include a comparison of pre-grant and post-grant forensic science capabilities (shall cite the specific improvements to quality and/or timeliness of forensic science or medical examiner services)
- The average number of days between submission of a sample to a forensic science laboratory or forensic science laboratory system in that State operated by the State or by a unit of local government and the delivery of test results to the requesting office or agency.
- An identification of the number (either annually or by the project period) and type (overall type, not just with the Coverdell grant) of cases currently accepted by the forensic science laboratory or forensic science laboratory system
- List each goal and objective and describe the progress made towards achieving EACH of them
- Describe the program activities completed this reporting period
- Report on performance indicators that document the accomplishment of the objectives
- Describe any problems encountered, how they impacted the program and how they were resolved
- Noteworthy outcomes throughout the project
- Success' and challenges
- Goals and objectives that WERE completed and how
- Goals and objectives that WERE NOT completed and why

Allegation Reporting (due December 31 and with the final report)

- The number and nature of any allegations of serious negligence or misconduct substantially affecting the integrity of forensic results received during the 12-month period of the award
- Information on the referrals of such allegations (e.g., the government entity or entities to which referred, the date of referral)
- The outcome of such referrals (if known as of the date of the report)
- If any such allegations were referred, the reason(s) for the non-referral

DEPARTMENT OF THE ATTORNEY GENERAL
Crime Prevention and Justice Assistance Division

JUSTIFICATION FOR NON-COMPETITIVE PROCUREMENT
(SOLE SOURCE JUSTIFICATION)

All sole source procurements in excess of the Simplified Acquisition Threshold set in accordance with 41 U.S.C. 1908 (currently set at \$150,000), must receive prior approval from CPJAD before entering into the contract. This authorization from CPJAD is not approval for non-competitive sole source procurement; it only authorizes you to proceed with the process to obtain approval utilizing state and county procurement rules. All procurement transactions, whether negotiated or competitively bid and without regard to value, must comply with procurement requirements that provide maximum open and free competition.

Provide a brief description of the program and the project or service to be procured, including the expected procurement amount.

Check which circumstance has led to the need for a non-competitive procurement process:

- The item or service is available only from a single source.
- The public exigency or emergency for the requirement will not permit a delay resulting from competitive solicitation.
- After solicitation of a number of sources, competition is determined to be inadequate.

Provide an explanation of why it is necessary to procure non-competitively. The justification may include the following contractor qualities: (1) organizational expertise; (2) management; (3) knowledge of the program; (4) responsiveness; or (5) expertise of personnel.

Provide a statement of when contractual coverage is required and, if dates are not met, what impact it will have on the program (e.g., how long it would take another contractor to reach the same level of competence). Make sure to include the financial impact in dollars.

Outline the unique qualities of the contractor.

Indicate whether the established procurement rules for non-competitive sole source for goods and services will be followed:

_____ YES

_____ NO: please explain

Describe how this action is in the best interest to the agency.

AUTHORIZED TO PURSUE NON-COMPETITIVE PROCUREMENT

NOT AUTHORIZED TO PURSUE NON-COMPETITIVE PROCUREMENT

CPJAD Branch Chief

Date

DEPARTMENT OF THE ATTORNEY GENERAL
 Crime Prevention and Justice Assistance Division
 Project Self-Assessment

| | | | | | |
|--|--|------------|-----------|--------------|--|
| Agency: | | | | | |
| Project No: | | | | | |
| Contact Name: | | | | | |
| Email Address: | | | | | |
| Phone: | | | | Date: | |
| | | | | | |
| <i>Instructions: Place an "x" in the appropriate column.</i> | | Yes | No | N/A | N/A=Not Applicable <i>A comment is required for N/A to be considered</i> |
| General | | | | | |
| 1 | Has the project director operated or managed state and/or federal funds at any agency within the past 5 years? | | | | |
| 2 | Has the fiscal officer operated or managed state and/or federal funds at any agency within the past 5 years? | | | | |
| 3 | Is this project new for the agency (operational for less than two years)? | | | | |
| 4 | Has there been staff turnover or agency reorganization that affects this project? | | | | |
| 5 | Have the majority of project staff worked in the project for less than 2 years? | | | | |
| 6 | Does the project have effective procedures and controls (standard policies & procedures)? | | | | |
| Legal | | | | | |
| 1 | For Non-Government Organizations: Does the agency/entity have or previously had a lawsuit(s) filed against them? If yes, list all pending and/or previous lawsuits with detailed information regarding who filed the lawsuit, the reason for filing and the final judgment rendered. | | | | |
| 2 | Is agency currently or previously been suspended or debarred? | | | | |
| 3 | Have any agency staff connected to the project been convicted of a crime linked to any area related to the grant or, if the individual handles money relating to the grant convicted of any crime such as fraud, embezzlement or other crimes involving handling of money? | | | | |
| Financial Systems | | | | | |
| 1 | For Government Organizations: Does the agency use a state or county uniform financial management/accounting system? If yes, proceed to question 3. | | | | |
| 2 | For Non-Government Organizations: Does the agency have a financial management system in place to track and record the program expenditures? (Example: Quickbooks, Visual Bookkeeper, Socrates Media, Peachtree or a Custom Proprietary System) | | | | |
| 3 | Does the accounting system identify the receipts and expenditures of program funds separately for each award? | | | | |

DEPARTMENT OF THE ATTORNEY GENERAL
 Crime Prevention and Justice Assistance Division
 Project Self-Assessment

| | | | | | |
|--|---|------------|-----------|--------------|--|
| Agency: | | | | | |
| Project No: | | | | | |
| Contact Name: | | | | | |
| Email Address: | | | | | |
| Phone: | | | | Date: | |
| | | | | | |
| <i>Instructions: Place an "x" in the appropriate column.</i> | | Yes | No | N/A | N/A=Not Applicable <i>A comment is required for N/A to be considered</i> |
| 4 | Does the accounting system provide for the recording of expenditures for each award by the budget cost categories shown in the approved budget? | | | | |
| 5 | Does the agency require project-funded staff to complete time and activity sheets identified by funding source? | | | | |
| 6 | As applied to this project, does the agency have an indirect cost rate that is approved and current? | | | | |
| | a) If yes, who approved the rate? | | | | |

DEPARTMENT OF THE ATTORNEY GENERAL
Crime Prevention and Justice Assistance Division

CERTIFICATION OF GRANT-FUNDED EMPLOYMENT

Per Title 2 Code of Federal Regulations (CFR) Part 225, *Cost Principles for State, Local, and Indian Tribal Governments*, Appendix B, *Selected Items of Cost*, this is to certify that the below listed employee has worked solely on the specified single Federal award or cost objective, and that charges for the named employee(s) salary and wages are supported by this periodic certification for the period covered by this certification.

This certification is for the Project Period (max 6 months): _____

Employee Name: _____

Position: _____

Project Number: _____

Project Title: _____

Employee Signature: _____ Date: _____

Supervisor Signature: _____ Date: _____

Note: The completed certification is to be filed with the official project records along with the employee's time and activity sheets.

APPENDIX D

FREQUENTLY ASKED FISCAL QUESTIONS & ANSWERS

Cash on Hand

1. What is the maximum allowed for Cash on Hand?

ANSWER: \$0. Grantee should request funds based upon immediate disbursement requirements. Funds are to be requested as project costs are incurred or anticipated. Grantee should time their drawdown requests to ensure that the cash on hand is the minimum for disbursements to be made immediately or within a few days. CPJAD will ask for the return of funds if the cash on hand is excessive and/or will not be expended in a timely manner.

2. For the final Request for Funds and Cash Balance Report (RFF) (AG/CPJAD #7), is it okay to leave a balance of more than \$0 in Part B.3. Ending Cash Balance?

ANSWER: No, any federal monies that were requested and not expended should be returned to CPJAD. The ending cash balance should be \$0 when submitting the final RFF report.

Time Sheets

1. Who is responsible for monitoring all of the time sheets completed by the staff paid with federal funds?

ANSWER: The Project Director and Financial Officer. The Project Director and the Financial Officer should have completed time sheets from all grant-funded staff to verify that the time spent by staff working on the project is consistent with the contract. During monitoring visits, the specialists are looking for whether the Financial Officer and Project Director are providing both cost and program management.

Allowable Cost

1. Can grant funds be obligated if the project period ends September 30, 2016 but the training will be held on October 15, 2016?

ANSWER: No. The project-funded activities (training) as well as the obligation must fall within the project period

Procuring Goods and Services and/or Health and Human Services

1. Are federal funds subject to state and/or county procurement rules?

ANSWER: Yes. State and county procurement rules are to be followed by the Grantee. While state and county procurement rules apply, additional federal rules for expenditures may also apply.

2. Is the Grantee subject to the purchasing policies of its own agency even though the policy may be higher than the federal requirements?

ANSWER: Yes, it could be. If the policy is an agency or department-wide policy that is implemented regardless of the source of the funds, then the policy shall apply to the federally-funded project as well.