Grant Orientation

Coronavirus Emergency Supplemental Funding (CESF) Program

CRIME PREVENTION AND JUSTICE ASSISTANCE DIVISION (CPJAD)

Introductions

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   Direct: (808) 587-7442

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Purpose

Overview of CESF grant requirements for Phase 1 recipients

- Project Director
- Fiscal Officer
- Other Support Staff
Agenda

Administrative & Fiscal Management

- Program Oversight
- Fiscal Oversight
- Monitoring, Records, & Reports
- Assurances & Certifications
- Additional Resources

Agreement Terms

**Agency** refers to Department of the Attorney General

**Grantee** refers to grant recipient

**Subgrantee** refers to subrecipient with whom grantee contracts services

**Project Period** refers to the project’s start & end date = Agreement Period
Obligation vs. Expenditure

Obligation: Funds not spent yet, but are committed for a specific budget item (e.g., purchase order)

Expenditure: Funds that have been spent (e.g., payroll records & receipts)

Best Practices: Coordination

Coordination between Project Director and Fiscal Officer is critical

With other specialty offices

With line staff

With stakeholders
Best Practices: Effective Communication Leads to...

- Better coordination of activities
- Maximize use of available resources
- Reduce confusion and frustration
- Minimize delays
- Reduce expenditure problems
- Ensures that required reporting will be completed

Q: The Agreement is executed. Can I request all the funds upfront?
Answer...

Grantees should request funds based upon immediate disbursement/reimbursement requirements.

Funds will not be paid in a lump sum, but rather disbursed over time as project costs are incurred or anticipated.

If the request is for an advance or reimbursement, advances must be spent within 10 days of receipt.

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Homework

Project Directors

*Identify expectations that you have for Fiscal Officers in managing the project*

Fiscal Officers

*Identify expectations that you have for Project Directors in managing the project*
I. Project Director

1. Ensure all personnel assigned/working on the project understand the timeline, activities, and reporting requirements

2. Ensure activities are performed in a timely manner

3. Ensure records are kept, deadlines are met.

PD – Program Oversight

4. Progress reports are submitted complete, accurate, and on time.

5. Ensure that problems are identified and addressed in a timely manner.

6. Request project revision
   ◦ Final deadline for requesting modifications is 45 days prior to end of project period
PD – *Program Oversight*

7. Ensure grant funds are expended as budgeted.

8. For equipment purchased, maintain an inventory list (equipment, ID no.) that includes where the equipment is, who it is assigned to (if applicable), and ensure that the equipment is used to prevent, prepare for and/or respond to COVID-19.

7. 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.

8. Grantee cannot use Federal funds to replace or repair equipment that is willfully or negligently lost, stolen, damaged, or destroyed.
9. If delayed start within 30 days:
   ◦ Submit reasons for delay, steps taken to initiate project, and anticipated starting date in writing to CPJAD

10. If delayed start within 90 days:
   ◦ Report status and reason for delay (in writing), CPJAD may determine if delay is excessive and contract may be reduced or terminated

PD – Program Oversight

Project Director = Accountably

◦ Point of Contact
◦ Activities & expenditures are consistent with the Agreement
◦ Maintains organized & complete records
◦ Proactive in identifying and addressing problems and issues
PD – Fiscal Oversight

1. Coordinate expenditures, timing of purchases/obligations

2. Conduct periodic analysis of obligations and expenditures to determine if things are on track or whether the budget will need to be revised

3. Confirm fiscal reports are submitted on time and accepted by CPJAD
   (Due to CPJAD by the 15th of every month, or earlier if the 15th falls on the weekend/holiday.)

4. Obligate funds before end of project period

5. Ensure obligations (encumbrances) have documentation that obligation was incurred prior to end of project period (e.g., dated purchase order or invoice)
PD – *Fiscal Oversight*

6. Ensure funds which are received but not obligated/expended by end of project period are returned to CPJAD

7. Ensure that funds are not obligated for activities that occur *outside* of project period

8. Ensure equipment is purchased (or procurement process is started) early in the project period

II. *Fiscal Officer*
Fiscal Officer Responsibilities

1. Ensure acceptable and adequate accounting system and internal controls exist

2. Monitor cash balance/expenses

3. Prepare and submit financial reports:
   - Request for Funds & Cash Balance (RFF) Report – monthly
   - Project Expenditures and Obligations (PEO) Report – quarterly

Request for Funds & Cash Balance Report (RFF)

PURPOSE:

1. Mechanism for grantees to request funds on a monthly basis – based on project’s need and anticipated use of funds

2. Monitor cash balance

   (Example)
# DEPARTMENT OF THE ATTORNEY GENERAL
**REQUEST FOR FUNDS AND CASH BALANCE REPORT**

**PROJECT TITLE: REGISTERED TRADEMARK**

**PART A. REQUEST FOR GRANT FUNDS**

<table>
<thead>
<tr>
<th>GRANT</th>
<th>AGENCY MATCH</th>
<th>TOTAL</th>
</tr>
</thead>
<tbody>
<tr>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>PERCENT OF TOTAL GRANT</th>
<th>REQUSTD</th>
<th>0</th>
</tr>
</thead>
<tbody>
<tr>
<td>0%</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>AMOUNT RECEIVED</th>
<th>LESS MATCH</th>
<th>LESS TOTAL</th>
</tr>
</thead>
<tbody>
<tr>
<td>0</td>
<td></td>
<td>0</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>AMOUNT AVAILABLE</th>
<th>LESS MATCH</th>
<th>LESS TOTAL</th>
</tr>
</thead>
<tbody>
<tr>
<td>0</td>
<td></td>
<td>0</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>AMOUNT REQUESTED</th>
<th>LESS MATCH</th>
<th>LESS TOTAL</th>
</tr>
</thead>
<tbody>
<tr>
<td>0</td>
<td></td>
<td>0</td>
</tr>
</tbody>
</table>

For State Agencies: number of fiscal appropriation code:

**PART B. CASH/BALANCE REPORT**

<table>
<thead>
<tr>
<th>GRANT</th>
<th>AGENCY MATCH</th>
<th>TOTAL</th>
</tr>
</thead>
<tbody>
<tr>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>TOTAL CASH RECEIVED</th>
<th>AS DEDUCED</th>
<th>LESS MATCH</th>
<th>LESS TOTAL</th>
</tr>
</thead>
<tbody>
<tr>
<td>0</td>
<td></td>
<td></td>
<td>0</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>LESS CUMULATIVE EXPENDITURES</th>
<th>AS DEDUCED</th>
<th>LESS MATCH</th>
<th>LESS TOTAL</th>
</tr>
</thead>
<tbody>
<tr>
<td>0</td>
<td></td>
<td></td>
<td>0</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>ENDING CASH BALANCE</th>
<th>LESS MATCH</th>
<th>LESS TOTAL</th>
</tr>
</thead>
<tbody>
<tr>
<td>0</td>
<td></td>
<td>0</td>
</tr>
</tbody>
</table>

**THE OMISSIONS BOWEN MADE ARE IN ACCORDANCE WITH THE GRANT AWAITS CONTRACT FOR THE 2020 CALENDAR**

**SUBMITTING AGENCY**

<table>
<thead>
<tr>
<th>AGENCY ADDRESS</th>
<th>SIGNATURE OF AUTHORIZED AGENCY</th>
<th>DATE</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>NAME &amp; TITLE</th>
<th>PHONE</th>
<th>FAX</th>
</tr>
</thead>
</table>

**FOR USE BY THE DEPARTMENT OF THE ATTORNEY GENERAL ONLY**

**Payment Agreement**

**Goodwill, Subordination/Release**

**PURPOSE**

- (8) Nonexempt funds
- (9) To monitor cash balances (grant cash balances should be kept at a minimum)

**PART A. REQUEST FOR GRANT FUNDS**

1. Enter amount (Grant Agreements: 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 an applicable Supplemental Agreement, for the Grant, Agreements, and Total Information.

2. Enter cumulative requests for Grant, total for this subheading in the Grant column. If Grant funds are returned to (SPSG), then the amount "Advances Requested to Date" is reduced proportionally.

3. The Balance of Award Available (Line 7 Less Line 2) will be automatically entered in the Grant column at Line 3. This is completed.

4. 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 project expenditures in this column. Enter the date in the space provided. The amount entered in this column 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 3 Less Line 2) will be automatically entered in the Grant column at Line 3. This is completed. A federal requirement is that the cash balance should be kept at a minimum.

**SUBMITTING FINAL REPORT**

<table>
<thead>
<tr>
<th>DUE at PD#20 by the 60th day after the project end date</th>
</tr>
</thead>
<tbody>
<tr>
<td>(3) Check the &quot;Final Report&quot; box to indicate that this is the agency’s final report.</td>
</tr>
</tbody>
</table>

**Instructions**

**REQUEST FOR FUNDS AND CASH BALANCE REPORT**

**AGENCY:**

**TOTAL:**

**DUE:**

**PURPOSE:**

- (8) Nonexempt funds
- (9) To monitor cash balances (grant cash balances should be kept at a minimum)
### DEPARTMENT OF THE ATTORNEY GENERAL
REQUEST FOR FUNDS AND CASH BALANCE REPORT

**PROJECT NO.: 16-VA-25**
**PROJECT TITLE:** Trafficking Victim Case Management
**REPORT NO.: 3**

#### PART A. REQUEST FOR GRANT FUNDS

<table>
<thead>
<tr>
<th>GRANT</th>
<th>AGENCY MATCH</th>
<th>TOTAL</th>
</tr>
</thead>
<tbody>
<tr>
<td>$50,000</td>
<td>$12,500</td>
<td>$62,500</td>
</tr>
</tbody>
</table>

1. **AMOUNT OF GRANT AWARD**

2. **PERCENT OF TOTAL GRANT**
   - 80%
   - 20%
   - 100%

3. **ADVANCES REQUESTED TO DATE**
   - $8,000
   - Leave Bank
   - Leave Bank

4. **BALANCE OF AWARD AVAILABLE**
   - $42,000
   - Leave Bank

5. **AMOUNT OF THIS REQUEST**
   - $2,000
   - Leave Bank

For State Agencies – transfer of funds to Appropriation Code: ____________

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### PART B. CASH BALANCE REPORT

<table>
<thead>
<tr>
<th>GRANT</th>
<th>AGENCY MATCH</th>
<th>TOTAL</th>
</tr>
</thead>
<tbody>
<tr>
<td>$6,000.00</td>
<td>Leave Bank</td>
<td>Leave Bank</td>
</tr>
<tr>
<td>$10,000.00</td>
<td>$1,000.00</td>
<td>$11,000.00</td>
</tr>
<tr>
<td>$1,000.00</td>
<td>Leave Bank</td>
<td>Leave Bank</td>
</tr>
</tbody>
</table>

1. **TOTAL CASH RECEIVED AS OF**
   - 9/30/2017

2. **LESS: CUMULATIVE EXPENDITURES AS OF**
   - 9/30/2017

3. **ENDING CASH BALANCE**

---

**CERTIFICATION**

I CERTIFY THAT THE INFORMATION CONTAINED HEREIN IS IN ACCORDANCE WITH THE GRANT AWARD CONTRACT FOR

**ADMINISTERING AGENCY:** YMCA
**AGENCY ADDRESS:** 400 AVE
**SIGNATURE OF AUTHORIZED AUTHORITY:** Date: 10/10/2017
**TYPED NAME & TITLE:** Jane Doe

PREPARER: John Smith
PHONE #: 808-867-5369
FAX #: 808-867-5310

---

**FOR USE BY THE DEPARTMENT OF THE ATTORNEY GENERAL ONLY**

Payment Approved:
Goods/Svs. Satisfactorily Received:
By:
Date Goods/Svs. Received:
Date Invoice Received:

AG/CPJAD #7 3/2955

SUBMIT ORIGINAL AND 2 COPIES
What are common errors in the RFF reports?

1. Report #
2. Advances requested to date
3. Appropriation code
4. Wrong date
5. Not signed by supervisor

---

Request for Funds & Cash Balance Report (RFF)

Submit completed RFF form (one original and two copies), even if no funds are being requested.

Due at CPJAD by the 15th of each month or earlier if the 15th falls on the weekend or holiday.

Forms available on-line at:  http://ag.hawaii.gov/cpja/gp/
**Request for Funds & Cash Balance Report (RFF)**

Drawdown requests should be based upon least amount needed for disbursements/reimbursements to be made *immediately or within 10 days* to ensure that

Federal cash on hand is kept to minimum

---

**Project Expenditures and Obligations Report (PEO)**

**PURPOSE:**

1. CPJAD and Grantee to monitor project expenditures
2. Help ensure project funds are spent in a timely manner, within budget, and by end of project period
3. Information collected is reported to the Department of Justice (DOJ), Office of the Chief Financial Officer

(Example)
### PART A. EXPENDITURE CATEGORY

<table>
<thead>
<tr>
<th>CATEGORY</th>
<th>APPROVED BUDGET</th>
<th>EXPENSES TO DATE</th>
<th>OBLIGATIONS</th>
<th>BALANCE</th>
</tr>
</thead>
<tbody>
<tr>
<td>Salaries &amp; Wages</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
<tr>
<td>Fringe Benefits</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
<tr>
<td>Consultant Services/Contracts</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
<tr>
<td>Supplies/Office Supplies</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
<tr>
<td>Equipment</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
<tr>
<td>Overtime</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
<tr>
<td>Local Travel Expense</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
<tr>
<td>EXPENDITURE TOTAL</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
</tbody>
</table>

### PROGRAM INCOME SOURCES

<table>
<thead>
<tr>
<th>Source</th>
<th>EXPENSES TO DATE</th>
<th>OBLIGATIONS</th>
<th>BALANCE</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
<tr>
<td>2</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
<tr>
<td>PROGRAM-source TOTAL</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>CATEGORY</th>
<th>APPROVED BUDGET</th>
<th>EXPENSES TO DATE</th>
<th>OBLIGATIONS</th>
<th>BALANCE</th>
</tr>
</thead>
<tbody>
<tr>
<td>Support Services</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
<tr>
<td>Salaries</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
<tr>
<td>SOCIAL SECURITY</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
<tr>
<td>EXPENDITURE TOTAL</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
</tbody>
</table>

### SOURCE OF FUNDS

<table>
<thead>
<tr>
<th>Source</th>
<th>EXPENSES TO DATE</th>
<th>OBLIGATIONS</th>
<th>BALANCE</th>
</tr>
</thead>
<tbody>
<tr>
<td>Support Services</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
<tr>
<td>SALARY</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
<tr>
<td>OTHER</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
<tr>
<td>EXPENDITURE TOTAL</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
</tbody>
</table>
**Total approved budget (Fed Award + Match)**

Report any program income

Must match Grand Total in Part B
Expenditures must be same as Expenditures listed on RFF

Project Expenditures and Obligations Report (PEO)

- Submit PEO form (one original and two copies)
- Due quarterly at CPJAD: By the 15th of April, July, October, January
- Forms available on-line at:  http://ag.hawaii.gov/cpja/gp/
What are some common errors in the PEO reports?

- Incorrect report number
- Incorrect reporting quarter
- Page 2 of other costs is missing
- Part A and Part B totals do not match

Inappropriate / Unallowable Expenditures

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.

Federal funds may be expended only for the purposes and activities specified in the Grantee’s approved plan and budget.
Final Drawdown/Final Financial Reports

Mark your calendar: Final drawdown request is due to CPJAD 30 days from project end date and the final financial reports are due 60 days from project end date as stipulated in the Agreement.

However, if a grantee is unable to submit the final drawdown request that is complete and error free by the required period, then the grantee may not be reimbursed for the final request.

Final Drawdown/Final Financial Reports

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.
Terms & Conditions of the Award

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.

This includes:

Temporarily withhold cash payments pending correction of the deficiency by the Grantee.

Terms & Conditions of the Award

<table>
<thead>
<tr>
<th>Disallow all or part of the cost of the activity or action not in compliance</th>
<th>Withhold further awards for the project or program.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Wholly or partly suspend or terminate the current award.</td>
<td>Take other remedies that may be legally available.</td>
</tr>
</tbody>
</table>
Federal Unallowable Costs

- Fundraising
- Lobbying
- Costs incurred outside project period
- Food & beverage expenditures*
- Replacing lost, damaged, theft of equipment (*willfully or negligently*)
- Gifts (i.e., honorarium, lei)
- Entertainment

Allowable Project Expenditures

- Procurement of goods & services
- Equipment
- Computer hardware & software
- Personnel & fringe benefits
- Consultants ($650/day or $81.25/hour)*)
Project Revision

GRANTEE SUBMITS WRITTEN REQUEST & APPLICABLE REVISED SECTIONS TO CPJAD

- Change in approved budget line item in excess of 5% of the total category amount in which the line item is listed.
- Category Other Costs
- New unapproved budget items

- Budget
- Description
- End Date
- Other

REQUESTS MAY BE MADE UP TO 45 DAYS BEFORE THE PROJECT END DATE

D. Transportation and Subsistence

<table>
<thead>
<tr>
<th>Item Description</th>
<th>Unit Cost</th>
<th>No. of Travellers</th>
<th>No. of Days</th>
<th>Subtotal</th>
</tr>
</thead>
<tbody>
<tr>
<td>Rental Car</td>
<td>$100</td>
<td>3</td>
<td>3</td>
<td>$300</td>
</tr>
<tr>
<td></td>
<td>$50</td>
<td>5</td>
<td>5</td>
<td>$250</td>
</tr>
<tr>
<td>Total Transportation and Subsistence</td>
<td>$550</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

E. Supplies

<table>
<thead>
<tr>
<th>Item Description</th>
<th>Quantity</th>
<th>Cost by Unit</th>
<th>Subtotal</th>
</tr>
</thead>
<tbody>
<tr>
<td>Gloves</td>
<td>50</td>
<td>$8</td>
<td>$400</td>
</tr>
<tr>
<td>Pensil and other items</td>
<td>3</td>
<td>$150</td>
<td>$450</td>
</tr>
<tr>
<td>Total Office Supplies</td>
<td></td>
<td></td>
<td>$950</td>
</tr>
</tbody>
</table>

F. Equipment

<table>
<thead>
<tr>
<th>Item Description</th>
<th>Quantity</th>
<th>Cost by Unit</th>
<th>Subtotal</th>
</tr>
</thead>
<tbody>
<tr>
<td>Dell Latitude 3510 Laptop</td>
<td>5</td>
<td>$200</td>
<td>$1000</td>
</tr>
<tr>
<td>Dell Wireless Mouse</td>
<td>3</td>
<td>$100</td>
<td>$300</td>
</tr>
<tr>
<td>Dell Essential Interface</td>
<td>1</td>
<td>$200</td>
<td>$200</td>
</tr>
<tr>
<td>Total Equipment</td>
<td></td>
<td></td>
<td>$1500</td>
</tr>
</tbody>
</table>

G. Other Costs

<table>
<thead>
<tr>
<th>Quantity</th>
<th>Cost by Unit</th>
<th>Subtotal</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>$5</td>
<td>$5</td>
</tr>
<tr>
<td>5</td>
<td>$5</td>
<td>$25</td>
</tr>
<tr>
<td>5</td>
<td>$5</td>
<td>$25</td>
</tr>
<tr>
<td>Total Other Costs</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

COST ELEMENT | AMOUNT
Effective Coordination & Communication between PD & FO

Q: Are we expending in a timely manner?

Q: Do we need to adjust cost categories to reflect project’s actual expenses?

III. Monitoring, Records, & Reports

Monitoring Projects

Master Project File

Fiscal Administration File
CPJAD Monitoring Activities

- Project self-assessment form (Phase 2)
- Desk monitoring
- Enhanced programmatic desk review
- On-site monitoring of program & fiscal records

Required by Office of Justice Programs (OJP)

- Award/contract
- Books of original entry
- General ledger
- Subsidiary ledgers
- Personnel & payroll ledgers
- Source documents supporting accounting transactions (see next slide)
Examples of Source Documents

- Cash receipts
- Cancelled checks
- Invoices sent and received
- Credit memos/reimbursements
- Employee time and activity sheets
- Overtime records

Examples of Source Documents (cont’d)

- Approval for & completed travel docs
- Data tracking sheets (e.g., client, outcomes, trainings)
- Car usage log for leased vehicles
- Contracts with subgrantees
- Memoranda of Agreement
Master Project File

Maintained by **Project Director** (or **Project Manager**)

**Organized**
By sections; chronological order

**Neat**
Documents necessary for master file

**Complete**
Contract, Supplemental Agreement, et al.

---

Master Project File

<table>
<thead>
<tr>
<th></th>
<th>Agreement &amp; Application for Grant</th>
<th></th>
<th>Sole Source (Restrictive Purchase)</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
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<tr>
<td>2</td>
<td>Supplemental Agreement</td>
<td></td>
<td>Project Modification Request/Approval</td>
</tr>
<tr>
<td>3</td>
<td>Fiscal Reports (RFFs, PEOs)</td>
<td></td>
<td>Project Equipment Inventory</td>
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<tr>
<td>4</td>
<td>Progress Reports</td>
<td></td>
<td>Loss, Damage, Theft of Equipment Report</td>
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<td>5</td>
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<td>8</td>
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</table>
## Master Project File

<table>
<thead>
<tr>
<th></th>
<th>Correspondence: POS, CPJAD, Fiscal Office, Delayed Correspondence, etc.</th>
<th></th>
<th>Training Agendas</th>
</tr>
</thead>
<tbody>
<tr>
<td>9</td>
<td></td>
<td>11</td>
<td>Training Agendas</td>
</tr>
<tr>
<td>10</td>
<td>Monitoring Reports</td>
<td>12</td>
<td>Time and Activity Sheets (Example) - Certification of Grant-Funded Employment (if applicable)</td>
</tr>
</tbody>
</table>

## Fiscal Administration File

**Maintained by Fiscal Officer**

**Organized**

By sections; chronological order

**Neat**

Documents necessary for fiscal file

**Complete**

Contract, Supplemental Agreement, RFFs, PEOs, monthly ledger, etc.
Fiscal Administration File

- Agreement & application for grant
- Project modification request/approval
- Receipts & invoices (includes OT, travel, etc.)
- General ledger
- Correspondence
- Financial reports submitted to CPJAD

Retention of Records & Reports

Retention & Access Requirements of Records

Must be retained for at least* three years after the Federal award between BJA and the Department of the Attorney General is closed

Access to all records

(* Long if notified for purposes such as, litigation, claim, negotiation, audit, or other action)
IV. Assurances & Certifications

Conditions follow the funds

Failure to Meet Assurances & Certifications:

- Suspension of payment
- Suspension of grant activities
- Termination of contract

Prohibited from receiving any future grant awards for a specified period not to exceed 5 years
Non-Supplanting

Prohibits use of grant funds for supplanting state and local funds

Federal funds must be used to supplement existing funds for program activities, and not replace those funds appropriated for same purpose

Audit Requirements

Agencies that expend $750,000 or more in Federal funds (from all sources) in the organization’s fiscal year are required to arrange for a single organization-wide audit conducted in accordance with provisions of Title 2 C.F.R. Subpart F

Audit reports due no later than 9 months after close of each fiscal year during term of award
V. Resources


http://ag.hawaii.gov/cpja/gp/

Questions
Thank You!