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INTRODUCTION

CRIME PREVENTION AND JUSTICE ASSISTANCE DIVISION

- Grants and Planning Branch
 - Community and Crime Prevention Branch
 - Juvenile Justice Information System
 - Missing Child Center - Hawaii
 - Research and Statistics Branch
 - Hawaii Sexual Assault Response & Training Program

Branch Chiefs

Calleen Ching
Jennifer Cullen

Specialists

Valzey Freitas
Marissa Ing
Felix Mata
Kristyn Oshiro (Intern)
Jayna Reynon
Memory Tanuvasa

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INTRODUCTION

CRIME PREVENTION AND JUSTICE ASSISTANCE DIVISION


- Grants and Planning Branch
- Community and Crime Prevention Branch
- Juvenile Justice Information System
- Missing Child Center - Hawaii
- Research and Statistics Branch
- Hawaii Sexual Assault Response & Training Program

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SCHEDULE

- Morning Session:**
Administrative and Fiscal Management for Project Directors and Fiscal Officers
- Afternoon Session:**
Effective Language Access Plans (VOCA and VAWA)



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AGENDA

- Program Oversight
- Fiscal Oversight
- Monitoring, Records, and Reports
- Assurances and Certifications
- Resources



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PURPOSE

Program Oversight

Fiscal Oversight

Monitoring, Records, & Reports

Assurances & Certifications

Resources

- Provide a general overview of grant requirements
- Inform recipients of new and existing grant requirements
- Highlight information for successfully administering grant-funded projects

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PURPOSE

Program Oversight

Fiscal Oversight

Monitoring, Records, & Reports

Assurances & Certifications

Resources

• Provide a general overview of grant requirements

• U.S. Department of Justice, Office of Justice Programs (OJP)

• Bureau of Justice Assistance (BJA)

• Office for Victims of Crime (OVC)

• US Department of Justice, Office on Violence Against Women (VAWA)

• Inform recipients of new and existing grant requirements

• Highlight information for successfully administering grant-funded projects

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TERMINOLOGY

Program Oversight

Fiscal Oversight

Monitoring, Records, & Reports

Assurances & Certifications

Resources

UNITED STATES
DEPARTMENT OF JUSTICE

→

“Federal Funding Agency”/”Funder”

STATE OF HAWAII
DEPARTMENT OF THE ATTORNEY GENERAL

→

“Agency”
“Grant recipient”

SUBGRANTEE PROJECTS

→

“Subrecipient”

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Resources



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Resources

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USING A TEAM APPROACH


Program Oversight

Fiscal Oversight

Monitoring, Records, & Reports

Assurances & Certifications

Resources



QUESTION:

WHAT QUALITIES ARE NEEDED FOR A TEAM TO BE EFFECTIVE?

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EFFECTIVE COMMUNICATION

Program Oversight

Fiscal Oversight

Monitoring, Records, & Reports

Assurances & Certifications

Resources



Best Practice:

Consistent coordination between the Project Director and ...

- Fiscal Officer
- Other specialty offices
- Line staff
- Stakeholders

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EFFECTIVE COMMUNICATION

Program Oversight

Fiscal Oversight

Monitoring, Records, & Reports

Assurances & Certifications

Resources

Benefits of Effective Communication

- Better coordination of activities
- Maximize the use of available resources and reduce expenditure issues
- Reduce confusion, frustration, delays
- Ensures that required reporting will be completed timely



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EFFECTIVE COMMUNICATION

Program Oversight

Fiscal Oversight

Monitoring, Records, & Reports

Assurances & Certifications

Resources

How to Effectively Communicate

- Identify expectations that you have for others on your team in managing the project
- Applies to both what Project Directors expect of Fiscal Officers *and* what Fiscal Officers expect of Project Directors



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PROJECT DIRECTOR RESPONSIBILITIES

Program Oversight

Fiscal Oversight

Monitoring, Records, & Reports

Assurances & Certifications

Resources

Ensure all personnel assigned/working on the project understand objectives, activities, reporting requirements

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PROJECT DIRECTOR RESPONSIBILITIES

Program Oversight

Fiscal Oversight

Monitoring, Records, & Reports

Assurances & Certifications

Resources

Ensure activities are performed in a timely manner

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PROJECT DIRECTOR RESPONSIBILITIES

Program Oversight

Fiscal Oversight

Monitoring, Records, & Reports

Assurances & Certifications

Resources

Ensure appropriate documentation regarding project activities (e.g., time and activity sheets) are kept and CPJAD reporting deadlines are met

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PROJECT DIRECTOR RESPONSIBILITIES

Program Oversight

Fiscal Oversight

Monitoring, Records, & Reports

Assurances & Certifications

Resources

Complete progress reports

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PROJECT DIRECTOR RESPONSIBILITIES

Program Oversight

Fiscal Oversight

Monitoring, Records, & Reports

Assurances & Certifications

Resources



Ensure compliance with special conditions

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PROJECT DIRECTOR RESPONSIBILITIES

Program Oversight

Fiscal Oversight

Monitoring, Records, & Reports

Assurances & Certifications

Resources



Request contract modifications
(deadline = no less than 45 days prior to end of project period)

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PROJECT DIRECTOR RESPONSIBILITIES

Program Oversight

Fiscal Oversight

Monitoring, Records, & Reports

Assurances & Certifications

Resources

Forward training requests to CPJAD for prior approval

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PROJECT DIRECTOR RESPONSIBILITIES

Program Oversight

Fiscal Oversight

Monitoring, Records, & Reports

Assurances & Certifications

Resources

Ensure grant and match funds are fully expended

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PROJECT DIRECTOR RESPONSIBILITIES

Program Oversight

Fiscal Oversight

Monitoring, Records, & Reports

Assurances & Certifications

Resources

Keep detailed inventory list of equipment purchased

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PROJECT DIRECTOR RESPONSIBILITIES

Program Oversight

Fiscal Oversight

Monitoring, Records, & Reports

Assurances & Certifications

Resources

Ensure use of the disclaimer for printed materials supported by an award

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PROJECT DIRECTOR RESPONSIBILITIES

Program Oversight

Fiscal Oversight

Monitoring, Records, & Reports

Assurances & Certifications

Resources

Example of a Disclaimer on Written Materials Supported by an Award:

This project was supported by Award No. 2020-V2-GX-0055, 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.

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PROJECT DIRECTOR RESPONSIBILITIES

Program Oversight

Fiscal Oversight

Monitoring, Records, & Reports

Assurances & Certifications

Resources

Notification for delay of project activities

Contract execution

Day 0

Start of project is delayed > 30 days:
Project director must submit (in writing) reasons for delay, steps taken to initiate project, and anticipated starting date

+30 days

Start of project delayed 90+ days:
Project director must report (in writing) the project status and reason for delay; if CPJAD determines delay is excessive, contract may be reduced or terminated

+90 days

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PROJECT DIRECTOR RESPONSIBILITIES

Program Oversight

Fiscal Oversight

Monitoring, Records, & Reports

Assurances & Certifications

Resources

CPJAD may withhold payments if subgrantee does not –

• Reach program/project goals

• Minimize the time between cash drawdowns and expenditures

• Adhere to grant requirements or Special Conditions

• Submit accurate and timely reports (fiscal reports and progress reports)

• Achieve timely financial reconciliation and closeout at the end of the project period

• Properly award and/or administer its subgrant contracts (if any)

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FISCAL OVERSIGHT

Program Oversight

Fiscal Oversight

Monitoring, Records, & Reports

Assurances & Certifications

Resources

QUESTION:

WITHIN THE SUBGRANT RECIPIENT AGENCY, WHO IS RESPONSIBLE FOR THE FISCAL OVERSIGHT OF THE PROJECT?



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FISCAL OVERSIGHT

Program Oversight

Fiscal Oversight

Monitoring, Records, & Reports

Assurances & Certifications

Resources

Project Director AND the Fiscal Officer are responsible for the fiscal oversight of the project.

Project Director

- Coordinate regarding expenditures and timing of purchases/obligations



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FISCAL OVERSIGHT

Program Oversight

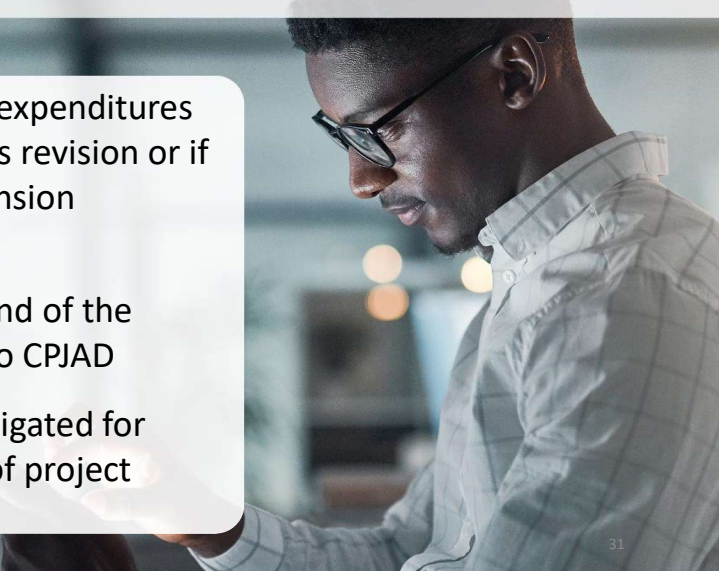
Fiscal Oversight

Monitoring, Records, & Reports

Assurances & Certifications

Resources

- Conduct monthly analysis of expenditures to determine if budget needs revision or if project period needs an extension
- Ensure funds which are not obligated/expended by the end of the project period are returned to CPJAD
- Ensure that funds are not obligated for activities that occur *outside* of project period



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FISCAL OVERSIGHT

Program Oversight

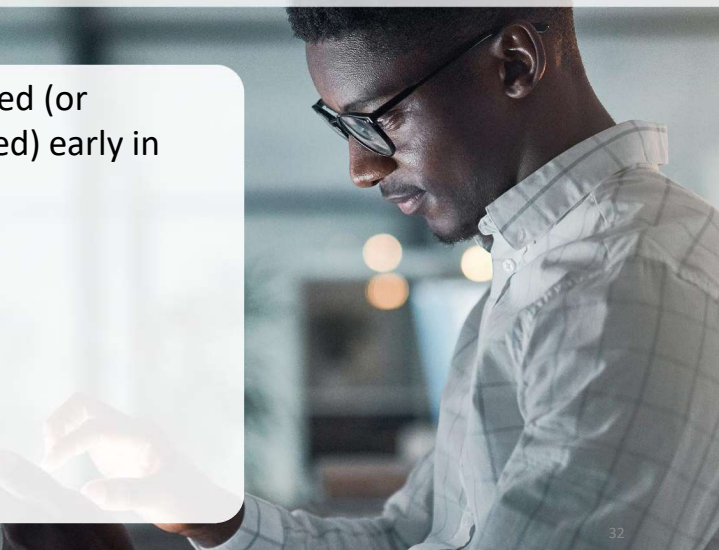
Fiscal Oversight

Monitoring, Records, & Reports

Assurances & Certifications

Resources

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



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FISCAL OVERSIGHT

Program Oversight

Fiscal Oversight

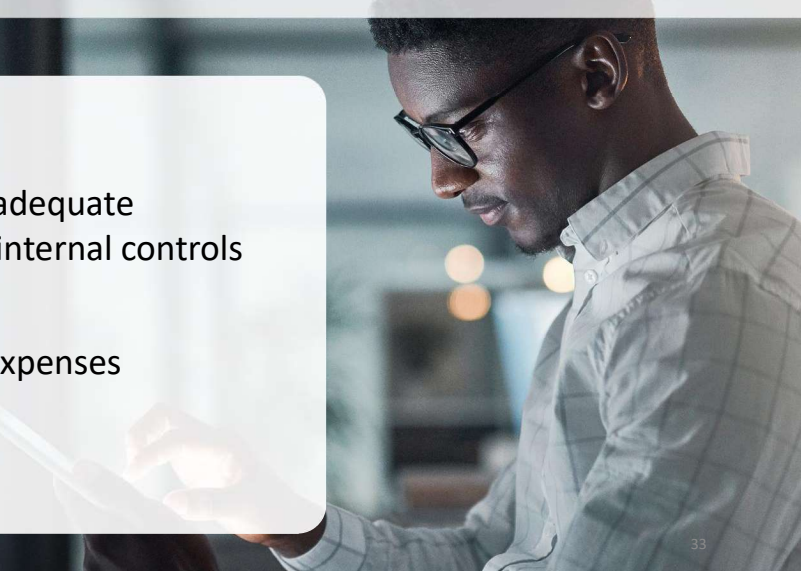
Monitoring, Records, & Reports

Assurances & Certifications

Resources

Fiscal Officer

- Ensure acceptable and adequate accounting system and internal controls exist
- Monitor cash balance/expenses



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FISCAL OVERSIGHT

Program Oversight

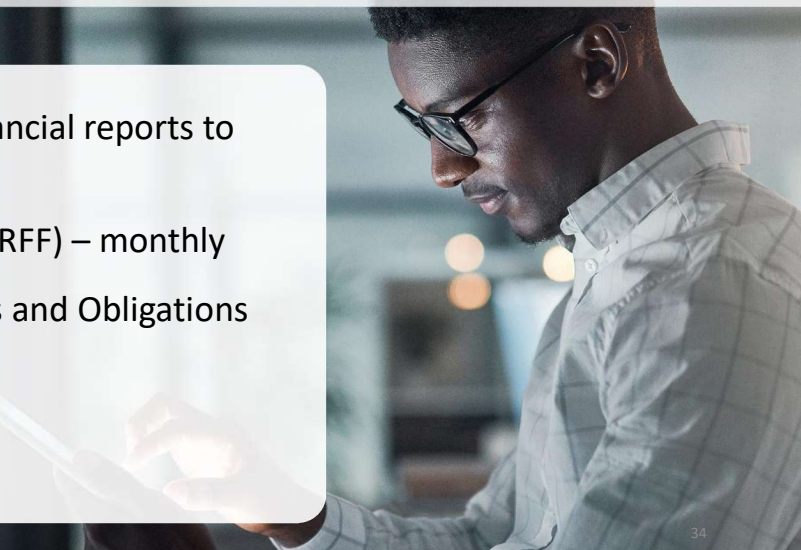
Fiscal Oversight

Monitoring, Records, & Reports

Assurances & Certifications

Resources

- Prepare and submit financial reports to CPJAD
 - Requests for Funds (RFF) – monthly
 - Project Expenditures and Obligations (PEO) – quarterly



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COMMUNICATING ABOUT THE PROJECT


Program Oversight

Fiscal Oversight

Monitoring, Records, & Reports

Assurances & Certifications

Resources



Gonna buy supplies. Do we have money left in supplies? 😊

Uhhh, it's April 15. Kinda late, yeah? I already turned RFF in

No \$\$ in budget for supplies. You need to ask for a mod. Lmk



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COMMUNICATING ABOUT THE PROJECT


Program Oversight

Fiscal Oversight

Monitoring, Records, & Reports

Assurances & Certifications

Resources

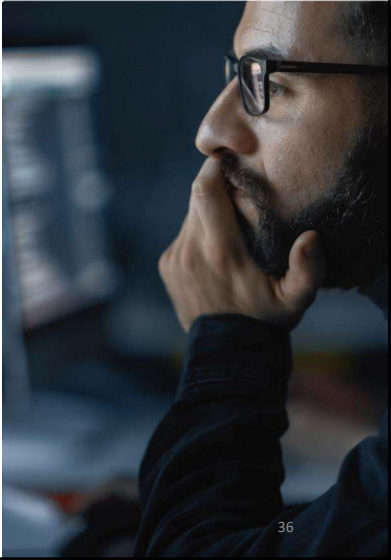


No \$\$ in budget for supplies. You need to ask for a mod. Lmk

Can you email me an updated budget?

Done. Let's talk later re next yr budget

kk



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COMMUNICATING ABOUT THE PROJECT

Program Oversight

Fiscal Oversight

Monitoring, Records, & Reports

Assurances & Certifications

Resources

Gonna buy supplies.
Do we have money left in
supplies? 😊

Uhhh, it's April 15. Kinda late,
yeah? I already turned RFF in

No \$\$ in budget for supplies. You
need to ask for a mod. Lmk

Can you email me an
updated budget?

Done. Let's talk later
re next yr budget

Check on status of funds
(Track budget benchmarks)

Fiscal report submitted
on time

Modification issues
highlighted

Working together on
budget issues

Sustainability and
continuity of project

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FISCAL TERMINOLOGY/DEFINITIONS

Program Oversight


Fiscal Oversight

Monitoring, Records, & Reports

Assurances & Certifications

Resources

- **Obligation:** Funds are committed for a specific budget item, but the funds are not yet spent (e.g., purchase order issued)
- **Expenditure:** Funds have been spent (e.g., payroll records, receipts)



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FISCAL TERMINOLOGY/DEFINITIONS

Program Oversight


Fiscal Oversight

Monitoring, Records, & Reports

Assurances & Certifications

Resources

- Cash Match:** Additional funds made available by grant recipients (e.g., state/county funds, private sources, program interest and income, equitable sharing program for federal asset forfeitures)
- In-Kind Match:** Value of something received or provided that does not have an associated cost; paid or giving in goods, commodities, or services instead of money (e.g., donated space, volunteer time)



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FISCAL TERMINOLOGY/DEFINITIONS

Program Oversight


Fiscal Oversight

Monitoring, Records, & Reports

Assurances & Certifications

Resources

- Program Income:** Income earned as a direct result of a grant award; has special requirements
 - Report on quarterly PEO fiscal report
 - Prior CPJAD approval to earn program income (VOCA)
 - Spend on allowable costs to support project activities
 - Any income earned but not used during the project period must be returned to CPJAD



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FISCAL TERMINOLOGY/DEFINITIONS

Program Oversight


Fiscal Oversight

Monitoring, Records, & Reports

Assurances & Certifications

Resources

- **Direct Costs:** Costs for activities or services that benefit a specific project (e.g., staff salaries, equipment, supplies)
- **Indirect Costs:** Costs of an organization that are not readily assignable to a particular project but are necessary to operation of the organization and performance of the project (see DOJ Financial Guide) (e.g., facility operation/maintenance, utilities, telecom, admin staff)



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INDIRECT COSTS

Program Oversight


Fiscal Oversight

Monitoring, Records, & Reports

Assurances & Certifications

Resources

- **Indirect Costs (continued)**
 - Federal Indirect Cost Rate: approved by a federal agency
 - Submit negotiated indirect cost rate agreement and supporting documentation
 - 10% de minimis:
 - Certification of de minimis indirect cost rate
 - CPJAD Indirect Cost Computation Worksheet



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INDIRECT COSTS

Program Oversight

Fiscal Oversight

Monitoring, Records, & Reports

Assurances & Certifications

Resources

Make sure to check the appropriate boxes

DEPARTMENT OF THE ATTORNEY GENERAL

Crime Prevention and Justice Assistance Division

INDIRECT COSTS COMPUTATION WORKSHEET

AGENCY NAME:

PROJECT PERIOD:

Please indicate the basis of the indirect cost rate (select one):

☐ Federally-negotiated indirect cost rate (current and approved). Please provide a copy of the agreement to CPJAD.

☐ 10% De Minimis Rate. (Note: If Grantee has never received a Federally-negotiated indirect cost rate and Grantee has received less than \$35 million in direct federal funding for the fiscal year requested, Grantee may elect to use the 10% De Minimis Rate.)

Please indicate the cost base used to calculate indirect costs (select one) and fill in the table below, as appropriate:

☐ **Modified Total Direct Costs (MTDC):** "MTDC means all direct salaries and wages, applicable fringe benefits, materials and supplies, services, travel, and subawards and subcontracts up to the first \$25,000 of each subaward or subcontract (regardless of the period of performance of the subawards and subcontracts under the award). MTDC excludes equipment, capital

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INDIRECT COSTS

Program Oversight

Fiscal Oversight

Monitoring, Records, & Reports

Assurances & Certifications

Resources

Program Activities

- Include as line item on budget justification form
- Identify which items the indirect cost amount will be applied toward
- Include only costs allowable under the grant program

Direct Salaries and Wages (list by position title)	Cost
Subtotal Direct Salaries and Wages	\$ -
Fringe Benefits (list by position title)	Cost
Subtotal Payroll Tax and Fringe Benefits	\$ -
Services	Cost
Subtotal Services	\$ -
Materials and Supplies* (Itemize materials and supplies and related costs such as printing, paper, binders, etc.)	Cost
Subtotal Materials and Supplies	\$ -
Travel (Itemize airfare, per diem, ground transportation, etc.)	Cost

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FISCAL TERMINOLOGY/DEFINITIONS

Program Oversight

Fiscal Oversight

Monitoring, Records, & Reports

Assurances & Certifications

Resources

Program Activities

- Include as line item on budget justification form
- Identify which items the indirect cost amount will be applied toward
- Include only costs allowable under the grant program

Contact your assigned Specialist for assistance

Subtotal Materials and Supplies		\$	-
Travel (Itemize airfare, per diem, ground transportation, etc.)			Cost
Subtotal Travel		\$	-
Subrecipients (partners) up to \$25,000 per partner			Cost
Name & Scope of Subrecipient	Total Contract Amount	Amount Applied	
Subtotal Subrecipients		\$	-
Subtotal Direct Costs		\$	-
Your Agency's Indirect Cost Rate (negotiated or 10% De Minimis)			10.00%
TOTAL Indirect Costs		\$	-

*For the purposes of indirect costs, the Federal definition of equipment is utilized. The Federal definition defines equipment as tangible personal property having: 1) a useful life of more than one year; and 2) a per unit acquisition cost of \$5,000 or greater is being utilized. All other items should be listed as supplies.

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FEDERAL ALLOWABLE COSTS

Program Oversight

Fiscal Oversight

Monitoring, Records, & Reports

Assurances & Certifications

Resources

- Personnel and Fringe Benefits
- Contractual Services/Consultants (\$650/day; \$81.25/hr)
- Procurement of goods and services
- Equipment
- Training and associated travel costs
- Conferenced-related activity (subject to conditions; consult your Specialist)
- Sole source (prior approval for \$250,000+)

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FEDERAL ALLOWABLE COSTS

Program Oversight

Fiscal Oversight


Monitoring, Records, & Reports

Assurances & Certifications

Resources

Training/Conference Planning Cost Thresholds

- Meeting room & audio-visual services: lesser of \$25/day per attendee or \$20,000
- Printing: Encouraged to materials electronically or via print-on-demand services/options
- Logistical planner: lesser of \$50/attendee or \$8,750
- Programmatic planner: lesser of \$200/attendee or \$35,000



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UNALLOWABLE COSTS

Program Oversight


Fiscal Oversight

Monitoring, Records, & Reports

Assurances & Certifications

Resources

- Food and refreshments
- Lobbying
- Costs incurred outside of the project period
- Replacing lost, damaged, theft of equipment (willfully or negligently)
- Gifts (e.g., honorarium, lei)
- Entertainment



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CPJAD RESTRICTIONS

Program Oversight

Fiscal Oversight

Monitoring, Records, & Reports

Assurances & Certifications

Resources

Overtime

- Cannot exceed 10% of a person’s base pay; and cannot exceed 30% of the project budget, for grants that overtime is allowable.

Fringe Benefits

- Must be in approved by categories. Overtime fringe benefits are limited to FICA, Unemployment and Workers Comp.

Other Restrictions:

Travel/Ground Transportation, Equipment, Accrued Vacation

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FISCAL REPORTING

Program Oversight

Fiscal Oversight

Monitoring, Records, & Reports

Assurances & Certifications

Resources

Two required fiscal reports

- Request for Funds and Cash Balance Report (RFF)
- Project Expenditures and Obligations Report (PEO)

Who is allowed to submit fiscal reports to CPJAD

- Project Director and Fiscal Officer
- Project director’s designee (identified in writing/email sent to Specialist and amy.k.tatsuno@hawaii.gov)

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FISCAL REPORTING

Program Oversight

Fiscal Oversight

Monitoring, Records, & Reports

Assurances & Certifications

Resources

Recurring Deadlines

Monthly RFF: 15th of every month

Quarterly PEO: April 15, July 15, October 15, January 15

If the 15th falls on a weekend or holiday, reports are due on Friday prior to the 15th

Reports with errors will be sent back for corrections. Resubmissions due within 2 business days.

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FISCAL REPORTING: RFF

Program Oversight

Fiscal Oversight

Monitoring, Records, & Reports

Assurances & Certifications

Resources

Submitting Fiscal Reports

Submit report in a consistent manner every month – email or hardcopy

Email submission procedures

Email sent to Specialist and amy.k.tatsuno@hawaii.gov

Subject line must include:
[Agency Name]+ [Project Number] + “FOR APPROVAL”
Sample subject line: XYZ Agency – 30-DJ-78 – For Approval

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FISCAL REPORTING: RFF

Program Oversight

Fiscal Oversight

Monitoring, Records, & Reports

Assurances & Certifications

Resources

Request for Funds and Cash Balance Report (RFF)

To request funds on a monthly basis, based on project’s need and use of funds

To monitor project’s cash balance

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FISCAL REPORTING: RFF

Program Oversight

Fiscal Oversight

Monitoring, Records, & Reports

Assurances & Certifications

Resources

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 15th day after project end date)

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

PROJECT NO. _____

REPORT NO. _____

PART A: REQUEST FOR GRANT FUNDS

	GRANT	AGENCY MATCH	TOTAL
1. AMOUNT OF GRANT AWARDED	\$ 0	\$ 0	\$ 0
2. PERCENT OF TOTAL GRANT	%0.00	%0.00	%0.00
3. AMOUNT 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 HEREIN ABOVE IS IN ALL RESPECTS TRUE AND CORRECT AND THE DISBURSEMENTS BEING MADE ARE IN ACCORDANCE WITH THE GRANT AWARD CONTRACT FOR THE SUBJECT PROGRAM.

GRANTEE AGENCY: _____

AGENCY ADDRESS: _____

SIGNATURE OF AUTHORIZED AUTHORITY: _____

DATE: _____

TYPED NAME & TITLE: _____

PREPARED NAME: _____

PHONE #: _____

E-MAIL: _____

FOR USE BY THE DEPARTMENT OF THE ATTORNEY GENERAL ONLY

Form AG-100-01

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FISCAL REPORTING: RFF

Program Oversight

Fiscal Oversight

Monitoring, Records, & Reports

Assurances & Certifications

Resources

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

PROJECT NO. _____

Check the correct box

☐ 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 TITLE: _____

Double check report number

REPORT NO. _____

PART A REQUEST FOR GRANT FUNDS

1. AMOUNT OF GRANT AWARD

2. PERCENT OF TOTAL GRANT

3. AMOUNT REQUESTED TO DATE

4. BALANCE OF AWARD AVAILABLE

GRANT	AGENCY MATCH	TOTAL
\$ 0	\$ 0	\$ 0
#DIV/0!	20%	
\$ 0	Less: Blank	Less: Blank

Match % should correspond to your current agreement

Round to nearest dollar (except for final drawdown & final report)

\$42,000

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FISCAL REPORTING: RFF

Program Oversight

Fiscal Oversight

Monitoring, Records, & Reports

Assurances & Certifications

Resources

PART B.

Any date up to and including end of reporting month

1. TOTAL CASH RECEIVED
AS OF _____

2. LESS: CUMULATIVE EXPENDITURES
AS OF _____

3. ENDING CASH BALANCE

End of reporting month

I CERTIFY THAT THE INFORMATION REPORTED HEREIN RESPECTS TRUE AND CORRECT AND THE DISBURSEMENTS
BEING MADE ARE IN ACCORDANCE WITH THE GRANT AWARD CONTRACT FOR THE SUBJECT PROGRAM.

GRANTEE AGENCY: _____

AGENCY ADDRESS: _____

SIGNATURE OF AUTHORIZED AUTHORITY: _____ DATE: _____

TYPED NAME & TITLE: _____

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FISCAL REPORTING: RFF

Program Oversight

Fiscal Oversight

Monitoring, Records, & Reports

Assurances & Certifications

Resources

GRANTEE AGENCY:

AGENCY ADDRESS:

SIGNATURE OF AUTHORIZED AUTHORITY:

DATE:

TYPED NAME & TITLE:

PREPARER NAME:

PHONE #:

E-MAIL:

FOR USE BY THE DEPARTMENT OF THE ATTORNEY GENERAL ONLY

Payment Approved:

Goods/Svs. Satisfactorily Received:

By:

Goods/Svs. Received:

Date Invoice Received:

Specialist

AG/CPJAD #7 03/2021

SUBMIT ORIGINAL AND 2 COPIES

Should be different people

Use the correct form

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FISCAL REPORTING: RFF

Program Oversight

Fiscal Oversight

Monitoring, Records, & Reports

Assurances & Certifications

Resources

Common Errors on an RFF

- Incorrect report number, reporting month, or project title
- Agency match was not included
- Part B.1. (Total Cash Received) shows a date prior to the check mail date
- Form does not include budget changes from executed supplemental contract

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FISCAL REPORTING: RFF

Program Oversight

Fiscal Oversight

Monitoring, Records, & Reports

Assurances & Certifications

Resources

Final Drawdown

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

PROJECT NO. _____

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)

- Due 30 days (not 31 days) after the project end date
- Final drawdowns need to be accurate and submitted by the deadline or the agency and will not be reimbursed

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FISCAL REPORTING: RFF

Program Oversight

Fiscal Oversight

Monitoring, Records, & Reports

Assurances & Certifications

Resources

Final Report

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

PROJECT NO. _____

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)

- Due 60 days (not 2 months) after the project end date
- Final reports need to be accurate and submitted by the deadline or the agency and will not be reimbursed
 - If project has not received a final payment when the final report is due, project should file a monthly report (requesting \$0)

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EXERCISE: RFF

Program Oversight

Fiscal Oversight

Monitoring, Records, & Reports

Assurances & Certifications

Resources

You emailed your Specialist your RFF:

Subgrantee: Malama Kakou Inc.

Contract #: 22-WF-22

Title: Domestic Violence Training and Support

Grant = \$72,000 (\$54,000 Fed + \$18,000 Match)

Contract Start Date: June 1, 2023

Financial Report Due Date: August 15, 2023

SEE HANDOUT.

PLEASE FIND THE ERRORS.

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

check one: ☐ MONTHLY OVERSIGHT (due to CPJAD by the 15th day of each month)
☐ FINAL OVERSIGHT (due to CPJAD by the 15th day after project end date)
☐ FINAL REPORT (due to CPJAD by the 15th day after project end date)

PROJECT N: 22-WF-22

PROJECT TITLE: Domestic Violence Training and Support

REPORT NO: 1

PART A. REQUEST FOR GRANT FUNDS

	GRANT	AGENCY MATCH	TOTAL
1. AMOUNT OF GRANT AWARD	\$ 54,000	\$ 18,000	\$ 72,000
2. PERCENT OF TOTAL GRANT	75%	25%	100%
3. AMOUNT REQUESTED TO DATE	\$ 2,153	Leave Blank	Leave Blank
4. BALANCE OF AWARD AVAILABLE	\$ 51,847	Leave Blank	Leave Blank
5. AMOUNT OF THIS REQUEST	\$ 3,460	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 15-Aug-23	\$ 0.00	Leave Blank	Leave Blank
2. LESS: CUMULATIVE EXPENDITURES AS OF 15-Aug-23	\$ 2,153.00	\$ 6.00	\$ 2,159.00
3. ENDING CASH BALANCE	\$ 2,153.00	Leave Blank	Leave Blank

THE DISBURSEMENTS BEING MADE ARE IN ACCORDANCE WITH THE GRANT AWARD CONTRACT FOR THE SUBJECT PROGRAM.

GRANTEE AGENCY: Malama Kakou Inc.

AGENCY ADDRESS: 102 Haysa Pongia St.

SIGNATURE OF AUTHORIZED AUTHORITY: Jaka Bua

DATE: 8/10/2023

TYPED NAME & TITLE:

PREPARED BY: Alice Smith

PHONE #: 609-523-4567

E-MAIL: Alice.Smith@trenton.gov

FOR USE BY THE DEPARTMENT OF THE ATTORNEY GENERAL ONLY

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A woman with dark hair tied back, wearing a light blue button-down shirt, is sitting at a wooden workbench. She is looking at a laptop screen. On the workbench, there are various tools including a hammer, a saw, and some wood. The background is a workshop with shelves and more tools. The word "QUESTIONS?" is overlaid in large, bold, white capital letters.

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FISCAL REPORTING: PEO

Program Oversight

Fiscal Oversight

Monitoring, Records, & Reports

Assurances & Certifications

Resources

Project Expenditures and Obligations Report (PEO)

To monitor project expenditure

To ensure project funds are spent in a timely manner, within budget, and within the project period

For CPJAD to collect information that is required by the U.S. Department of Justice, Office of the Chief Financial Officer for federally-funded projects

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FISCAL REPORTING: PEO

Program Oversight

Fiscal Oversight

Monitoring, Records, & Reports

Assurances & Certifications

Resources

DEPARTMENT OF JUSTICE
PROJECT EXPENDITURES & OBLIGATIONS REPORT

REPORT NO. _____

PROJECT TITLE: _____ PROJECT NO. _____

FOR CALENDAR QUARTER ENDING (select one): ☐ March 31, 25 ☐ June 30, 25 ☐ Sept 30, 25 ☐ Dec 31, 25

PART A. EXPENDITURE CATEGORIES	APPROVED BUDGET	EXPENDITURES TO DATE	UNPAID OBLIGATIONS	BALANCE
SALARIES & WAGES				\$0.00
FRINGE BENEFITS				\$0.00
TRAVEL				\$0.00
EQUIPMENT				\$0.00
SUPPLIES				\$0.00
SUBAWARDS (SUBGRANTS)				\$0.00
PROCUREMENT CONTRACTS				\$0.00
INSURANCE				\$0.00
LEASE/RENTAL OF SPACE				\$0.00
UTILITIES/TELECOMMUNICATIONS				\$0.00
INDIRECT COSTS				\$0.00
OTHER COSTS				
1.				\$0.00
2.				\$0.00
3.				\$0.00
4.				\$0.00
5.				\$0.00
6.				\$0.00
7.				\$0.00
8.				\$0.00

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FISCAL REPORTING: PEO

Program Oversight

Fiscal Oversight

Monitoring, Records, & Reports

Assurances & Certifications

Resources

DEPARTMENT OF THE ATTORNEY GENERAL

REPORT

REPORT NO. _____

PROJECT NO. _____

PROJECT TITLE: _____

FOR CALENDAR QUARTER ENDING (select one):
☒ March 31, 20 ☐ June 30, 20 ☐ Sept 30, 20 ☐ Dec 31, 20

Should reflect current budget

Type report number

Select correct month and type correct year

PART A. EXPENDITURE CATEGORIES

	APPROVED BUDGET	EXPENDITURES TO DATE	UNPAID OBLIGATIONS	BALANCE
SALARIES & WAGES				\$0.00
FRINGE BENEFITS				\$0.00
TRAVEL				\$0.00
EQUIPMENT				\$0.00
SUPPLIES				\$0.00
SUBAWARDS (SUBGRANTS)				\$0.00
PROCUREMENT CONTRACTS				\$0.00
INSURANCE				\$0.00

Do not alter the budget categories

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FISCAL REPORTING: PEO

Program Oversight

Fiscal Oversight

Monitoring, Records, & Reports

Assurances & Certifications

Resources

8.				\$0.00
9.				\$0.00
10.				\$0.00
List Total Other Costs from Page 2				
TOTAL	\$0.00	\$0.00		
PROGRAM INCOME SOURCES:				
1.				
2.				
PROGRAM INCOME TOTAL	\$0.00	\$0.00		
GRAND TOTAL	\$0.00	\$0.00	\$0.00	\$0.00

This number must match the number in Part B.2. of the corresponding RFF

Use correct form

SUBMIT ORIGINAL PLUS 1 COPY
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

CPJAD eGrants AG/CPJAD #8 10/2022

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EXERCISE: PEO

Program Oversight

Fiscal Oversight

Monitoring, Records, & Reports

Assurances & Certifications

Resources

You emailed your Specialist your PEO:

Subgrantee: Dept. of the Attorney General

Contract #: 22-WF-22

Title: Domestic Violence Training and Support

Grant = \$72,000 (\$54,000 Fed + \$18,000 Match)

Contract Start Date: June 1, 2023

Financial Report Due Date: August 15, 2023

SEE HANDOUT.

PLEASE FIND THE ERRORS

PROJECT EXPENDITURES & OBLIGATIONS REPORT

REPORT NO. 5

PROJECT TITLE: Domestic Violence Training and Support PROJECT NO. 22-WF-22

FOR CALENDAR QUARTER ENDING (select one) ☒ March 31, 20 ☐ June 30, 20 ☐ Sept 30, 20 ☐ Dec 31, 20

PART A. EXPENDITURE CATEGORY	APPROVED BUDGET	EXPENDITURES TO DATE	UNPAID OBLIGATIONS	BALANCE
SALARIES & WAGES	\$20,000.00	\$10,000.00		\$20,000.00
FRINGE BENEFITS	\$10,000.00	\$3,000.00		\$9,000.00
TRAVEL	\$5,000.00	\$1,500.00		\$3,500.00
EQUIPMENT				\$0.00
SUPPLIES	\$1,000.00	\$0.00		\$1,000.00
SUBAWARDS (SUBGRANTS)				\$0.00
PROCUREMENT CONTRACTS				\$0.00
INSURANCE	\$5,000.00	\$0.00		\$5,000.00
LEASE/RENTAL OF SPACE	\$3,000.00	\$500.00		\$2,500.00
UTILITIES/TELECOMMUNICATIONS	\$1,500.00	\$300.00		\$1,200.00
INDIRECT COSTS				\$0.00
OTHER COSTS				
1. Paper/Blanket/Office	\$500.00	\$0.00		\$500.00
2. IT/HR	\$365.00	\$0.00		\$365.00
3.				\$0.00
4.				\$0.00
5.				\$0.00
6.				\$0.00
7.				\$0.00
8.				\$0.00
9.				\$0.00
10.				\$0.00

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FISCAL REPORTING: PEO

Program Oversight

Fiscal Oversight

Monitoring, Records, & Reports

Assurances & Certifications

Resources

Common Errors on a PEO

- Incorrect report number or reporting quarter
- Agency match is not added to the federal amount from the approved budget
- Missing Page 2
- Calculation errors: Parts A and B totals do not match
- Figures are rounded (i.e., cents were not included)

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PROJECT MODIFICATIONS

Program Oversight

Fiscal Oversight

Monitoring, Records, & Reports

Assurances & Certifications

Resources

Budget Modifications: Amend an approved budget

- Due: no less than 45 days prior to the end of the project
- Must be done PRIOR to the expenditure
- Required when there is/are –
 - Change >5% of a total budget category, including the match obligation
 - Change in price and/or quantity or changes to in-kind/cash match
 - New unapproved budget items

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PROJECT MODIFICATIONS

Program Oversight

Fiscal Oversight

Monitoring, Records, & Reports

Assurances & Certifications

Resources

Other Types of Modifications

- Change to Key Personnel
 - Project Director
 - Fiscal Officer
- Change to Project Period
 - Extension requires revised timeline
- Changes to Project Description (i.e., goals, objectives, activities, evaluation)

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PROJECT MODIFICATIONS

Program Oversight

Fiscal Oversight

Monitoring, Records, & Reports

Assurances & Certifications

Resources

Modification Instructions

• Grantee submits written request by email

• Include revised contract sections (i.e., budget, project description) to modify any aspect of the project

• Modification needs to be approved to be in effect

• Deadline: no less than 45 days prior to the end of the project

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PROJECT MODIFICATION DISCUSSION

Program Oversight

Fiscal Oversight

Monitoring, Records, & Reports

Assurances & Certifications

Resources

Project is ending in 50 days. Did you request modification?

I'll do that right now. We might not finish this project on time.

Not guaranteed but you can try to req extension.

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PROJECT MODIFICATION DISCUSSION


Program Oversight

Fiscal Oversight

Monitoring, Records, & Reports

Assurances & Certifications

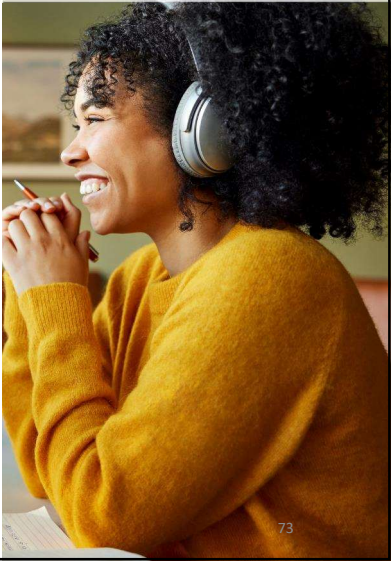
Resources



Hey, how's it going?

Not bad. I need to do a budget mod for some supplies for my project.

If the change is less than 5% of the current budget category, you don't need a mod



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PROJECT MODIFICATION DISCUSSION

Program Oversight

Fiscal Oversight

Monitoring, Records, & Reports

Assurances & Certifications

Resources



We don't have supplies budgeted right now.

Oh, then you'll need a mod. Email me the revised budget and I'll look it over.

Also, I have some tea I want to talk about.



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PROJECT MODIFICATION DISCUSSION

Program Oversight

Fiscal Oversight

Monitoring, Records, & Reports

Assurances & Certifications

Resources



I live for tea.

I'm getting promoted and someone else is going to be PD. Do I submit a mod?

Hey, congrats! Thanks for thinking ahead. When you're ready, email me a mod request for the change.



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PROJECT MODIFICATION DISCUSSION

Program Oversight

Fiscal Oversight

Monitoring, Records, & Reports

Assurances & Certifications

Resources



One last thing. I think we're going to need an extension. It's not VOCA. Is there still time?

Yeah, the deadline is 45 days before the project's end date. You just made it. Email me an explanation and amended timeline.



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PROJECT MONITORING

Program Oversight

Fiscal Oversight

Monitoring, Records, & Reports

Assurances & Certifications

Resources

Purpose: To prevent fraud, waste, abuse, and mismanagement

- Fraud: Attempt to obtain something valuable through intentional misrepresentation (e.g., theft, conflict of interest); legal determination
- Waste: Excessive or non-essential expenditures → Unnecessary costs
- Abuse: Excessive/improper payment resulting form a questionable practice (e.g., inconsistent with polices, abuse of position)
- Mismanagement: Failure to appropriately manage budget, expenditure, or documentation

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PROJECT MONITORING

Program Oversight

Fiscal Oversight

Monitoring, Records, & Reports

Assurances & Certifications

Resources

Types of Monitoring Activities

- Project self-assessment form
- Desk monitoring
- Enhanced desk review
- On-site monitoring of program and fiscal records

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PROJECT MONITORING

Program Oversight

Fiscal Oversight

Monitoring, Records, & Reports

Assurances & Certifications

Resources

How an On-Site Monitoring Works

- Conduct entrance interview
- Review programmatic, administrative, and basic financial information on grant
- Interview with project staff
- Conduct exit interview
- Review additional documents requested from project (if needed)
- Issue monitoring report

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PROJECT MONITORING

Program Oversight

Fiscal Oversight

Monitoring, Records, & Reports

Assurances & Certifications

Resources

Top Monitoring Findings

- Lack of communication between project director and fiscal officer
- Missing documentation
- Project director does not regularly review fiscal reports
- Improperly maintained time and activity sheets
- Inadequate system to track client/outcome data
- Untimely expenditures/project activities

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PROJECT MONITORING

Program Oversight

Fiscal Oversight

Monitoring, Records, & Reports

Assurances & Certifications

Resources

Top Monitoring Findings

- Untimely or incorrect fiscal reports
- Untimely progress reports
- Inadequate monitoring of subrecipients
- Commingling and/or supplanting of grant funds

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PROJECT MONITORING

Program Oversight

Fiscal Oversight

Monitoring, Records, & Reports

Assurances & Certifications

Resources

Documents Required by Federal Funding Agency

- Award/contract
- Books of original entry
- General ledger
- Subsidiary ledger
- Personnel and payroll ledgers
- Source documents to support accounting transactions

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PROJECT MONITORING

Program Oversight

Fiscal Oversight

Monitoring, Records, & Reports

Assurances & Certifications

Resources

Examples of Source Documents

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

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PROJECT MONITORING

Program Oversight

Fiscal Oversight


Monitoring, Records, & Reports

Assurances & Certifications

Resources

Examples of Source Documents

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



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PROJECT MONITORING

Program Oversight

Fiscal Oversight


Monitoring, Records, & Reports

Assurances & Certifications

Resources

Types of Files the Project Must Maintain

- Fiscal Administration File maintained by the fiscal officer
- Master Project File maintained by the Project Director



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PROJECT MONITORING


Program Oversight

Fiscal Oversight

Monitoring, Records, & Reports

Assurances & Certifications

Resources



File Maintenance

- The file should be –
 - Organized by sections; chronological order
 - Neat Documents necessary for project or fiscal file
 - Complete Substantiates activities or expenditures

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PROJECT MONITORING

Program Oversight

Fiscal Oversight

Monitoring, Records, & Reports

Assurances & Certifications

Resources



Fiscal Administration File Contents

- Contract and Application for Grant
- Project Modification Requests and Approvals
- Receipts and Invoices (including overtime, travel, etc.
- General ledger
- Correspondence
- Fiscal Reports submitted to CPJAD

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PROJECT MONITORING

Program Oversight

Fiscal Oversight

Monitoring, Records, & Reports

Assurances & Certifications

Resources



Project Master File Contents

- Contract and Application for Grant
- Supplemental Agreement (if any)
- Fiscal Reports (RFF, PEO)
- Progress Reports (6 month, PMT, Annual)
- Sole Source Documentation
- Project Modification Requests and Approvals
- Project Equipment Inventory

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PROJECT MONITORING

Program Oversight

Fiscal Oversight

Monitoring, Records, & Reports

Assurances & Certifications

Resources



Project Master File Contents

- Loss, Damage, Theft of Equipment Report
- Correspondence (POS, CPJAD, Fiscal, etc.)
- Monitoring Reports
- Training Agendas
- Time and Activity Sheets
(including Certification of Grant-Funded Employment, if applicable)

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PROJECT MONITORING

Program Oversight

Fiscal Oversight

Monitoring, Records, & Reports

Assurances & Certifications

Resources

Example of a Time and Activity Sheet

Agency Name: _____

Employee: _____

Position: _____

Pay Period: _____

DESCRIPTION OF ACTIVITY	DAY OF THE MONTH																																	
Grant Activities	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31			
Activity must be allowable under grant program and reflect the project's scope																																		
Non-Grant Activities																																		
Vacation/Sick Leave/Holiday																																		
Paid Time Off/Holiday																																		
Unpaid Leave																																		
TOTAL HOURS																																		

Employee Signature _____

Date _____

Supervisor Signature _____

Date _____

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PROJECT MONITORING


Program Oversight

Fiscal Oversight

Monitoring, Records, & Reports

Assurances & Certifications

Resources



Subrecipient Monitoring

- Required for the proper oversight of subawards to ensure grant compliance
- Collection and review of –
 - Financial reporting systems and supporting documentation
 - Federal reports and tracking systems
 - Time and activity sheets

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PROJECT MONITORING

Program Oversight

Fiscal Oversight

Monitoring, Records, & Reports

Assurances & Certifications

Resources



Record Retention Requirement

- Federal/state examination and audit
Three years following date that CPJAD submits final federal financial report (SF-425)
- Subgrantees may need to retain longer if notified for purposes such as litigation, claim, negotiation, audit or other action
- Coverage
- Access to ALL records

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QUESTIONS?

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SUBGRANTEE OBLIGATIONS

Program Oversight

Fiscal Oversight

Monitoring, Records, & Reports

Assurances & Certifications

Resources

What is an Assurance? What is a Certification?

- Document detailing circumstances that must be met/adhered to when your agency accepts the federal funds
- Signed by the Department Head, Chief of Police, or Chief Executive Officer
- Submitted with Contract
- Contract requirement
- May differ due to source of federal award

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CONSEQUENCES FOR NON-COMPLIANCE

Program Oversight

Fiscal Oversight

Monitoring, Records, & Reports

Assurances & Certifications

Resources

Failure to meet assurances and certifications may result in –

- Suspension of payment
- Suspension of grant activities
- Termination of contract
- Prohibition from receiving future grant funds for a specified period not to exceed 5 years

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COMMON ASSURANCES AND CERTIFICATIONS

Program Oversight

Fiscal Oversight

Monitoring, Records, & Reports

Assurances & Certifications

Resources

- General Conditions
- Special Conditions
- Non-Supplanting
- Drug Free Workplace
- Debarment, Suspension, Ineligibility & Voluntary Exclusion
- Lobbying
- Confidential Funds

- Non-Discrimination
- Procedures for Discrimination Complaints
- Equal Employment Opportunity Complaints
- Equal Employment Opportunity Policy and Plan
- Other – Depends on Grant

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GENERAL CONDITIONS

Program Oversight

Fiscal Oversight

Monitoring, Records, & Reports

Assurances & Certifications

Resources

- Conditions attached to funding source are carried through to Grantee
- General and fiscal regulations of CPJAD
- Termination of contract, discontinuation of payment, non-availability of funds

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SPECIAL CONDITIONS

Program Oversight

Fiscal Oversight

Monitoring, Records, & Reports

Assurances & Certifications

Resources

- Special Conditions attached to funding source are carried through to Grantee
- Reporting requirements of CPJAD and grant program
- Funds subcontracted to faith-based organizations
- Reporting fraud, waste, abuse, and similar misconduct

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CONFIDENTIALITY

Program Oversight

Fiscal Oversight

Monitoring, Records, & Reports

Assurances & Certifications

Resources

- Grantees must, to the extent permitted by law, reasonably protect confidentiality and privacy of clients
- Client information cannot be shared without informed, written, reasonably time-limited consent of client
- Federal definition of Personally Identifying Information (PII) is broad
- Check your General and Special Conditions and grant rules/regulations for specific restrictions of your contract/agreement

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NON-SUPPLANTING

Program Oversight

Fiscal Oversight

Monitoring, Records, & Reports

Assurances & Certifications

Resources

- 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

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DRUG-FREE WORKPLACE (STATE AGENCY)

Program Oversight

Fiscal Oversight

Monitoring, Records, & Reports

Assurances & Certifications

Resources

- Must certify maintenance of a drug-free workplace
- Drug-Free Workplace program policies must be posted and distributed to employees; policies include –
 - Notify employer within 5 days of incident
 - Notify CPJAD within 10 days of reported incident
 - Take appropriate action within 30 days of incident
 - Required drug abuse assistance rehabilitation

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DEBARMENT, SUSPENSION, INELIGIBILITY, AND VOLUNTARY EXCLUSION

Program Oversight

Fiscal Oversight

Monitoring, Records, & Reports

Assurances & Certifications

Resources

- Federal policy to conduct business only with responsible persons
- Debarment or suspension of a participant in program by one agency has government-wide effect

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LOBBYING

Program Oversight

Fiscal Oversight

Monitoring, Records, & Reports

Assurances & Certifications

Resources

- Anti-Lobbying Act
 - No federal funds 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
 - Anti-lobbying restrictions are enforceable via large civil penalties, with civil fines between \$10,000 and \$100,000 per each individual occurrence of lobbying activity

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CERTIFICATION OF NON-DISCRIMINATION

Program Oversight

Fiscal Oversight

Monitoring, Records, & Reports

Assurances & Certifications

Resources

- Specific non-discrimination requirements that follow grant programs (e.g., DOJ Non-discrimination Regulations)
 - Title VI of the Civil Rights Act of 1964
 - Omnibus Crime Control and Safe Streets Act of 1968 as amended
 - Section 1407 of the Victims of Crime Act of 1984
 - Title IX of the Education Amendments of 1972
 - Section 504 of the Rehabilitation Act of 1973
 - Title II of the Americans with Disabilities Act of 1990

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CERTIFICATION OF NON-DISCRIMINATION

Program Oversight

Fiscal Oversight

Monitoring, Records, & Reports

Assurances & Certifications

Resources

- Specific non-discrimination requirements that follow grant programs (e.g., DOJ Non-discrimination Regulations)
 - Age Discrimination Act of 1975
 - Executive Order 13166 (national origin)
 - Executive Order 13279 and 28 C.F.R. pt 38 Faith Based – Equal Treatment
 - Nondiscrimination Grant Condition in the Violence Against Women Act (VAWA) Reauthorization of 2013

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CERTIFICATION OF NON-DISCRIMINATION

Program Oversight

Fiscal Oversight

Monitoring, Records, & Reports

Assurances & Certifications

Resources

- Protected Classes
 - Race
 - Color
 - National Origin
 - Religion
 - Age
 - Sex
 - Gender Identity (VAWA)
 - Sexual Orientation (VAWA)
 - Disability

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CERTIFICATION OF NON-DISCRIMINATION

Program Oversight

Fiscal Oversight

Monitoring, Records, & Reports

Assurances & Certifications

Resources

- Important Reminder

DOJ defines program or activity as the whole organization that receives federal funds. If one unit of the organization receives a grant, the entire organization is covered. Same applies to Subgrantees.

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CERTIFICATION OF NON-DISCRIMINATION

Program Oversight

Fiscal Oversight

Monitoring, Records, & Reports

Assurances & Certifications

Resources

Faith Based Organizations

- DOJ Regulations for FBO Guidance (Revised April 4, 2016)
- New Notice & Referral Requirements
 - Written notice inclusions
 - Beneficiary objections
 - Sample notice & beneficiary referral request

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CERTIFICATION OF NON-DISCRIMINATION

Program Oversight

Fiscal Oversight

Monitoring, Records, & Reports

Assurances & Certifications

Resources

VAWA Reauthorization Act (2013)

- Applies to discrimination based on gender identity and sexual orientation
- Sex segregated programming vs. sex specific programming
 - Necessary to essential operations
 - Comparable services
 - Gender identity
 - Serving transgender clients – what gender a person identities with

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CERTIFICATION OF NON-DISCRIMINATION

Program Oversight

Fiscal Oversight

Monitoring, Records, & Reports

Assurances & Certifications

Resources

National Origin Discrimination

- Includes discrimination on the basis of Limited English Proficiency (i.e., person has a first language other than English and a limited ability to read, speak, or understand English)
- Language Access Plan:
 - Reasonable step(s) taken
 - Ensures meaningful access
 - Establishes & implements policies and procedures
 - Free of charge

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CERTIFICATION OF NON-DISCRIMINATION

Program Oversight

Fiscal Oversight

Monitoring, Records, & Reports

Assurances & Certifications

Resources

National Origin Discrimination

- Language Access Plan – 4 factor analysis:
 - Reasonable step(s) taken
 - Ensures meaningful access
 - Establishes & implements policies and procedures
 - Free of charge

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CERTIFICATION OF NON-DISCRIMINATION

Program Oversight

Fiscal Oversight

Monitoring, Records, & Reports

Assurances & Certifications

Resources

National Origin Discrimination

- Language Access Plan – 6 Elements of the Plan
 - Process for identifying LEP persons who need language assistance
 - Information about available language assistance measures
 - Training for staff
 - Notice to LEP persons
 - Monitoring and updating Language Access Plan
 - Language Access Plan Coordinator

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CERTIFICATION OF NON-DISCRIMINATION

Program Oversight

Fiscal Oversight

Monitoring, Records, & Reports

Assurances & Certifications

Resources

- Information on National Origin Discrimination and/or Language Access Plans is available at:
 - OJP, Office for Civil Rights: www.ojp.usdoj.gov/ocr/
 - State Office on Language Access: <https://health.hawaii.gov/ola>

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PROCEDURES FOR DISCRIMINATION COMPLAINTS

Program Oversight

Fiscal Oversight

Monitoring, Records, & Reports

Assurances & Certifications

Resources

Grantee/Subgrantee Responsibilities Regarding Civil Rights Complaints

- Have a coordinator
- Make beneficiaries aware that they may complain to agency, CPJAD, or OCR
- Have process to investigate complaints
- Notify CPJAD / OCR

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PROCEDURES FOR DISCRIMINATION COMPLAINTS

Program Oversight

Fiscal Oversight

Monitoring, Records, & Reports

Assurances & Certifications

Resources

DOJ’s Obligation to Investigate

- U.S. Department of Justice, Office for Civil Rights is required by law to investigate complaints of discrimination filed against recipients of financial assistance from OJP, its component organizations, or COPS

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EQUAL EMPLOYMENT OPPORTUNITY POLICY AND PLAN (EEOP)

Program Oversight

Fiscal Oversight

Monitoring, Records, & Reports

Assurances & Certifications

Resources

What is an Equal Employment Opportunity Policy and Plan (EEOP)?

- Compares agency’s workforce to relevant labor market
- Analyzes agency employment practices to determine impact on race, sex, or national origin
- Tool to identify problem areas where discrimination may be occurring

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CERTIFICATE FOR TITLE

Program Oversight

Fiscal Oversight

Monitoring, Records, & Reports

Assurances & Certifications

Resources

- An inventory of supplies and equipment purchased during project period must be submitted to CPJAD at the end of the project.
- The inventory should include a list of equipment and unused supplies purchased, costs, and identification numbers (if applicable).
- If a project has received more than one award, a cumulative inventory of equipment should be kept.
- Must be submitted within 60 days after project end date

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CERT. OF GRANT-FUNDED EMPLOYMENT

Program Oversight

Fiscal Oversight

Monitoring, Records, & Reports

Assurances & Certifications

Resources

- Per Title 2 Code of Federal Regulations (CFR) Part 225, Cost of Principles for State, Local, and Indian Tribal Governments, Appendix B, Selected Items of Cost
- For Employees who work solely on single Federal award or cost objective
- For charges for salary and wages of named employee(s) supported by this certification for period covered
- CPJAD will not collect this form and should be available during monitoring

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AUDIT REQUIREMENTS

Program Oversight

Fiscal Oversight

Monitoring, Records, & Reports

Assurances & Certifications

Resources

- 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

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LIABILITY INSURANCE REQUIREMENT

Program Oversight

Fiscal Oversight

Monitoring, Records, & Reports

Assurances & Certifications

Resources

- Minimum amount: \$2 million in commercial general liability insurance
 - \$1 million per occurrence; \$2 million in aggregate in general liability
 - \$1 million per accident in automobile
- Additional insured: Department of Attorney General, State of Hawaii named as an additional insured
- Dates: Effective beginning with contract start date, not contract execution date

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FOR MORE INFORMATION/ASSISTANCE

Program Oversight

Fiscal Oversight

Monitoring, Records, & Reports

Assurances & Certifications

Resources

- DOJ Financial Guide:
http://ojp.gov/financialguide/doj/pdfs/DOJ_FinancialGuide.pdf
- Office of Justice Programs: www.ojp.gov/
- Office on Violence Against Women: www.justice.gov/ovw
- Office for Civil Rights: <https://www.ojp.gov/program/civil-rights-office/home>
- Crime Prevention & Justice Assistance: www.ag.hawaii.gov/cpja
 - CPJAD Forms and Grant Manuals

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CLOSING REMARKS

Reminder re: afternoon session: Please return promptly at 1:00 p.m.

- Only for VOCA and VAWA subgrantees

Thank you for attending.

Please fill out the evaluation form.

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