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Criminal Justice Grants Policy and Procedure Guide

March 2011

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Assistant Director

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**Criminal Justice Grants
Policy and Procedure Guide**

March 2011

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CHAPTER 1—INTRODUCTION

Purpose

The purpose of this manual is to provide recipients and sub-recipients of criminal justice related grants with the requirements associated with their grants. These grants are awarded by the Public Safety Unit, Department of Commerce.

Applicability

The body of this manual contains generic requirements applicable to the following grant categories.

- Federal grant programs and funds:
 - Byrne Justice Assistance Grant (JAG)
 - Residential Substance Abuse Treatment (RSAT)
 - Paul Coverdell Forensic Sciences Improvement Formula Grant
 - Project Safe Neighborhoods (PSN)
- State grant programs administered by the Public Safety Unit
- Grant recipients and sub-recipients
- Grant supported activities
- Management and accountability of grant funds
- Management and accountability of match
- Management and accountability of program income

The grant program appendices specify general provisions which are not applicable, and special provisions which are relevant, to each program.

State versus Federal Funding Clarification

While the terms of this guide may specifically reflect federal requirements, the incorporated federal requirements almost exclusively focus on “sound financial management” and are equally applicable to any grant. In the event that a grant recipient funded only with state funds believes that there is a provision of this manual that should only be applicable to federally funded activities, they should immediately contact the Public Safety Unit staff and request a review. In the event that staff agrees, a letter of clarification will be immediately issued, and an amendment to this guide will be produced with integration of the approved change.

Notice of Possible Changes

Changes in federal law/policy drive the majority of the provisions of this policy guide. As such, this guide is updated periodically to reflect those changes, and the changes are immediately effective. The key here is the effective date of changes in federal law or policy, which is binding upon all federal grant recipients and sub-recipients, regardless of inclusion in this guide.

Staff of the Public Safety Unit will attempt to notify all relevant parties of changes as they are made. However, since staff cannot contact every impacted representative of each sub-recipient, it is recommended that all sub-recipients periodically check for changes and internally disseminate notice of the changes. Recipients and sub-recipients of grant funds remain bound to the provisions of this document regardless of notification.

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Grant Principles

Purpose of grant funding—The purpose of grant funding is to support local and state projects, undertaken at the recipient's initiative to improve the operation of the criminal justice system and to reduce crime, substance abuse, and violence. Individual grant programs narrow the purpose for which grant funding is intended; and for what, when, and how funds may be expended.

Receipt of grant funding is not an entitlement—Funding is limited; intended for specific purposes; and bounded by both state and federal laws, as well as programmatic and fiscal restrictions. Additionally, the Department of Commerce (COMMERCE) is obligated to select recipients by a variety of criteria, and to seek the greatest overall benefit to the state. In light of these factors, previous receipt of funding is not a valid predictor of continued or future funding.

Receipt of grant funding is not without conditions and responsibilities—The grant funding provided through COMMERCE is public funding and must be accounted for in two ways.

- 1.–**Programmatically:** Neither the state legislature nor Congress has reason to continue funding a grant program if timely, clear, and meaningful information on what has been accomplished is not provided. The local recipients, COMMERCE, and the United States Department of Justice must all report on what was achieved with the funds provided. Reporting and active cooperation and support of program monitoring, program assessment, and program evaluation are required of every agency and individual receiving grant funds.
2. **Financial Accountability:** The responsibility to account for and ensure the best use of funding is the shared responsibility of all parties managing the funds, from whatever agency the appropriating body selects to initially disburse the funds down to the lowest sub-recipient.

The balance of this manual addresses the various aspects of these two responsibilities. The manual is not intended to be an all-encompassing statement of responsibilities. However, it is intended to identify the information and requirements most relevant to the grant recipient.

CHAPTER 2—PROGRAM ACCOUNTABILITY AND MANAGEMENT

Program Description

To ensure that grant funds support both the federal grant purposes and intermediate program goals, every grant applicant is required to describe their program/project in two ways.

1. The traditional method is to present the proposal in the following terms:

- Mission.
- Goals.
- Objectives.
- Implementing Activities.
- Performance Measures.

This format has the following advantages:

- It requires the applicant to think through its proposal.
- It is easily expanded to require clarification of related considerations (for example: pre-requisite conditions/actions).
- It specifies what is to be done, and how achievement is to be measured.
- It facilitates discussion and reporting of the program.
- The majority of federal programs require program summaries and overall program reporting in this format.

The significant weakness of this format is that it does not clearly link a proposal/project to the purposes of the overall grant. That linkage is the authority for awarding the funds.

2. The GMAP*¹Logic Model is a newer method of describing a proposal, which links the proposal to the grant's purpose.

The strengths of the GMAP Logic Model are that it:

- Relates the proposal to policy goals or grant purposes.
- Facilitates overall program assessment.

The weakness of this method is that it addresses the logic chain sequentially, one activity through one purpose at a time. For more complex projects, the process has to be worked multiple times and is not as easy to understand as the traditional method.

The form used to present the GMAP Logic Model is presented in [Appendix O6](#).

*¹ Governmental Management Accountability Plan

Fidelity to Program Models/Description

The program model is normally the program description provided by the applicant in their application. Alternately, for some programs a program model may be described in the application instructions and must be accepted by the applicant. In either event implementation of the program model is incorporated into the grant's Statement of Work.

At best, failure to comply with the Program Model/Statement of Work places the legitimacy of all project expenses in doubt, and makes meaningful reporting and assessment difficult. At worst, repayment of all grant funds disbursed may be required.

Change to Project Models/Statement of Work—When the situation changes, and the changes in how a project's objectives are pursued makes sense, a brief rationale and description of the change should be made in writing before the change is implemented. Submit this report of requested change to the Department of Commerce (COMMERCE).^{*2}

The majority of such requests are normally approved without delay as a better way of implementing the project. Factors in a change request that require negotiation are:

- Changing the character of reported information or an assessment plan.
- Changing the basic scope of the project (as opposed to a shift of priorities and effort between current project activities/objectives).
- Significantly modifying the operation of a competitively awarded project.
- Modifying any of the policy level objectives of a project.
- Modifying any component of a certified or nationally mandated protocol.

Note: The factors above are listed in order of increasing concern, and usually require clear demonstration that higher-level policy objectives are better served by the requested change.

On-site monitoring and project assessment will frequently be scheduled after such changes.

Consequences of Deviation from the Program Model

Compliance with the program model, as defined in the application instructions or by the applicant in the grant application, is an integral part of the grant contract (also for state agencies' Interagency Agreements).

Due to the State's obligations as fiscal agent for the funds we administer, failure to perform as contracted is a vital concern. Though many changes are quite reasonable and provide for better achievement of program objectives, a unilateral change when a specific process or outcome is incorporated into the contract is not reasonable, and may not be supported by grant funds. Essentially, significant unapproved changes invalidate your grant, and may require repayment of unapproved expenditures.

^{*2} Note: or to whatever state agency is coordinating or facilitating the program under which the individual award was approved.

The best course of action for any contractor is to request a change to the contract terms, and explain why the change improves the program. If COMMERCE or another state agency granting the award agrees, the terms of the contract may be amended.

If a requested change is denied or not sought before the change is implemented, the state agency coordinating programs funded through COMMERCE must assess the impact of the deviation from the agreed upon project, and act to safeguard the integrity of the program and compliance with state and federal guidelines and law. The state agency coordinating programs funded through COMMERCE must take one or more of the following actions:

- Approve the deviation.
- Withhold reimbursement pending investigation/consideration of the situation.
- Withhold further payment.
- Require reimbursement of some or all of the grant funds expended since the deviation.
- Terminate the grant without further reimbursement.
- Report the violation to the Washington State Auditor's Office.
- Eliminate or condition the contractor agency eligibility for future grant funds.
- Report the violation to the United States Department of Justice, with or without a recommendation for debarment from future receipt of any grant funding.

Best Practices

COMMERCE and other organizations may identify and publish "Best Practices" which either improve the performance of programs or protect program implementers from certain risks. When notified of such practices by COMMERCE or other state agencies coordinating programs funded through COMMERCE, grant recipients must review and assess the practice for their own grant-supported project.

After review, grant recipients must either implement the "Best Practice" or document why they have not done so. Such documentation should be retained in the program's records and forwarded to COMMERCE or other state agencies coordinating programs funded through COMMERCE. This documentation is subject to consideration during monitoring, peer review, other project/program evaluations, and determining funding eligibility and award considerations. There are three common reasons for not implementing the practice.

- The presence of equivalent practices which offer the same or greater protection or enhancement is fully acceptable.
- The cost of adopting such a change may outweigh the benefits the "Best Practice" offers.
- The practice is simply not applicable to the funded project.

Monitoring, Peer Review, and Evaluation

The COMMERCE monitors grant recipients' programs to track program implementation, to identify and recommend better business practices, to check contractor compliance, and to conduct training. Every grant recipient is required to support these efforts.

Monitoring and peer review is normally conducted on a “at risk” basis. However, they may also be conducted on a random basis or to simply familiarize state program staff with a contractor or a project.

Risk factors used in to determine who, when, and how to review include:

- Elapsed time since the last such review.
- Size of the award.
- Experience of program staff.
- Change of key personnel.
- Participation in program training (if applicable).
- Reporting and performance concerns.
- Prior or continuing performance or management concerns.

Other factors determine program evaluations and who is to be included in such efforts. Though every effort will be made to avoid back to back individual review and visitation as part of an overall program evaluation, such visits or inquiries may occur due to different emphases of the two foci—individual and group/comparative.

CHAPTER 3—SOUND FINANCIAL MANAGEMENT

In addition to being responsible to the U.S. Department of Justice for compliance with a number of specific fiscal and related program controls, every recipient of federal grant funds is responsible for exercising “sound financial management.”

Recognizing that many projects are not supported by certified finance staff or that there may be considerable organization separation between finance and operational staff, this manual identifies the basic fiscal controls required. After review of this manual and your project’s fiscal management, any questions should be raised with the Department of Commerce’s (COMMERCE) program staff. For more project specific technical questions, COMMERCE staff will contact the fiscal unit supporting the project.

The minimum acceptable accounting system must: (Generally Accepted Accounting Principles [GAAP] Standard):

- Establish and maintain accounting records.
- Accurately account for funds awarded and for matching funds.
- Maintain accounting and internal controls.
- Ensure that any/all sub-recipients have an adequate system of accounting and internal controls that:
 - Presents and classifies costs, as required for budgetary and evaluation purposes.
 - Provides cost and property controls.
 - Provides controls to comply with general and special conditions of a grant.
 - Meets requirements for periodic reporting and summary of funds.
 - Provides financial data for measurement, planning, control, and evaluation of direct and indirect costs.
 - Records and reports receipt, obligation, and expenditure of grant, match, and base funding.

Compliance with Federal Grant Provisions

Compliance with the following grant requirements is dependent upon operation and use of an adequate fiscal accounting system. If there is any concern or uncertainty regarding any of the following grant requirements, project managers should consult with their local fiscal staff and managers to clarify how the information required is reported. If the information and controls to satisfy any of the following requirements are in place, the state agency issuing awards for your grant programs must be notified at once.

Separation of fiscal functions is a fundamental accounting control to avoid theft and to catch errors in data entry. For this grant, the individual authorization of expenditures and disbursement of funds must be exercised by different individuals.

- Insurance or bonding of fiscal and program staff who can authorize or make purchases or cash expenditures is required.

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- Non-commingling of grant and other program funds—separation and identification of each receipt of funds, expenditure, and obligation by fund source is required. If existing fiscal controls are not adequate for this purpose, separate physical accounts are required.
- Authorized uses of grant funds, match, and program income vary by grant program. Generic authorized and unauthorized uses are identified in Appendices B through D. Specific grant program variations from the generic requirements are found in Appendices G through L.

All authorized expenses must be incurred within the award period unless specifically requested and approved in advance.

- Cash Match is defined as funds expended and recorded on behalf of the grant project, in excess of the amount, which would have been made available for the grant supported activities in the absence of the grant.

Project managers normally maintain a supplemental record of such expenditures to facilitate tracking by multiple agencies or collaborating departments. The key is to ensure that each such expenditure is supported by the appropriate fiscal records. Depending upon the sources of match and the quantity of supporting documentation, the responsible project manager may elect to obtain copies of actual receipts, or may accept reports from collaborating agencies/departments on the match expended by those agencies/departments. When summarizing documentation is accepted, the project manager must periodically examine the supporting backup records to ensure that all contributing parties are uniformly and correctly reporting match.

- Program income is revenue generated by grant-supported or match-supported activities such as conference fees, partial fees for service, or **forfeitures**. Such income is subject to the same fiscal and programmatic controls as grant and match funds.

Program income is considered to be the property of the generating grant-supported activity, and must be dedicated to that activity—at least ***to the extent that the activity is supported by federal and match funding***.

Example: A training conference costing \$12,000 generated \$1,000 in registration fees. The \$12,000 was provided by three sources (categories of funds), half of which were tied to the grant. Therefore, half of the program income must remain dedicated to the grant and is subject to its restrictions.

\$6,000 county fund	-----	\$6,000	-----	50%	
\$4,500 grant funds	---}	\$6,000	-----	50%	(must remain dedicated to the grant and is subject to its restrictions)
\$1,500 matching funds	---}				

subject to grant rules

Federal regulation requires that program ***income derived from the use of federal funds must be expended during the award period in which the program income is received***. Actual implementation of this provision is more complex than is immediately apparent. Agencies generating program revenue (forfeitures) should review [Appendix F](#).

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If not expended during the award period in which earned, *disposition instructions from the state agency making the individual sub-awards must be requested*. Authority to carry the program income over into a subsequent award period, or to support the generating projects after the end of the award period in which it is earned, cannot be assumed.

Program income may be *considered as match funds* during the period in which it is expended.

- Non-supplanting—Reduction of state or local funds for a grant-supported activity because of the existence of grant funds is prohibited.

Grant recipients must be proactive and document their basis for calculating pre-existing resources, either in terms of full-time equivalents (FTEs) or funding. Once this basis is established, documentation should be copied and inserted in the initial and subsequent award files.

The funding base must thereafter be maintained unless changed by one of two events.

1. Increases in the base funding which must be thereafter maintained (unless the increase is temporary and documented as such).
2. Local funding is decreased by an across-the-board funding cut. Should such a cut impact grant supported activities, the project manager must document the cut and demonstrate that it was not applied with any consideration for the presence of federal funds. It must further show the application of equivalent cuts to multiple other programs not supported by grant funds.

Both of these events require updating the base funding documentation and must be retained in the grant project's files.

Holding harmless some activities from the 'across-the-board' may adversely impact the validity of the across-the-board-cut defense for reducing state/local funding. To avoid automatic negative rulings, copies of minutes and final budgets for both the prior year and the year for which the cuts are being made must reflect discussion and prioritization of the essential functions being exempted from reduction, and must clearly reveal the intent to generally apply the cut to all but the most important exceptions. Should such documentation not be maintained, there is no defense to the charge of supplanting.

- Total budget—Projects must be able to present their total operating budget/costs, inclusive of costs born by collaborating agencies/departments. This is required to both demonstrate compliance with the non-supplanting requirement and to demonstrate the extent to which the implementing agency(s) are committed to the grant-supported project. In-kind match should be included in the budget, though clearly differentiated from cash match. Supplemental documents may be required to reflect other agencies' participation.
- Projected expenditure pattern—As part of the application for funding, the supported activity's projected expenditure pattern for grant funding (not including match or program income) is requested. This information, combined with the actual expenditure pattern presented in the project's reimbursement requests, allows tracking of the project and

identification of difficulties or delays. If a significant deviation is observed, the grant recipient may be asked to access their operation and revise the expenditure pattern, or have released funding to another project.

- Expenditure for services within the award period—Only obligations incurred within the award period are reimbursable. Expenses incurred before or after the award period are not authorized for reimbursement unless specific authority to do so has been granted in advance by the state agency awarding individual grants.
- Rate of grant and match expenditure—Grant and match funds do not have to be spent together such that grant expenditures are always supported by the required match. Though such expenditure is normally a sound management practice, several considerations must be taken into account before such a practice is locally adopted. The considerations include:
 - Timely utilization of grant funds—End of award expenditure/reimbursement requests for grant funds are normally due within 10 days of the end of the award period. Collection of the information and preparation of such reports/requests normally takes more than the 10 days available. When possible, operations supported by grant funds should be ended early enough to allow accurate reporting and billing of the grant funds. Variance of match funds may be corrected in subsequent reports that do not change the total of grant funds expended/requested for reimbursement.
 - Guaranteed match availability and expenditure—If match or pre-grant baseline (non-supplanting base) funds are available, dedicated, and sufficient to fund operations through the end of the award period, there is no grant-related reason not to expend grant funds in advance of the match. However, if such is not the case, match funds should be spent in proportion to grant funds, ensuring that the match requirement is satisfied and repayment of unsupported grant funds is not a possibility.
- Budget adjustments (flexibility)—A contract amendment is required when the grant recipient desires to shift more than 10 percent (cumulative) of the grant funds (match not included); shifts grant funds into categories of expense for which grant funds have not been previously allotted; or when the shifting of funds will result in a change of scope for the project. It is recommended that grant recipients making such a shift notify the state agency awarding the grant to ensure that there are no unanticipated problems. Note: Shifting of match or other locally provided funds does not require a contract amendment unless the shift creates a change of scope for the project.

The grant recipient must make the request in writing to the state agency making the award in order to shift more than 10 percent (cumulative); shift funds into a zero balance category of expense; make any shift affecting the scope of work; or change the award's expenditure period. All such requests should include the original budget, the requesting change(s), the resulting budget, and a brief statement why the change benefits implementation of the project. The categories of expense identified in the program application packet or other standard expense categories, if not specified, should be used. (A simplified example can be found on the following page.)

Example (simplified without match requirement):

Budget Change Request Contract F05-55555-001			
Original	Change	Revised	
Overtime	4,000	-1,500	2,500
Travel	500	+1,000	1,500
Training	2,500	+ 500	3,000
Equipment	3,000		3,000
Total	10,000	-0-	10,000

Additional personnel funds have become available through an unanticipated grant from a regional training consortium, negating our need for overtime funding during certification training. Shifting these funds to travel and training will allow completion of staff certification training during the current year, allowing the agency to pursue national certification next year (which would otherwise not have been feasible for at least an additional two years).

Requests for a budget adjustment or extension should be made at least 45 days before the end of the award period to allow sufficient time for both parties' signatures on the amended contract.

Time and attendance records—Every individual paid with federal funds must document the expenditure of time in proportion to the receipt of federal funds. For example, an individual charging 45 percent of their salary and benefits to a federal grant must document that 45 percent of their time was expended in support of that grant.

Charges on the time and attendance record ***may not reflect a blanket formula allocation*** of their effort. For example, at the beginning of the fiscal year the agency's budget projected the office manager at 55 percent local funds and 45 percent grant funds (one grant only). Charging a blanket 45 percent per pay period to the grant does not reflect that individual's actual effort on behalf of the grant project and therefore is not reimbursable.

There is no specific format required. However each individual being reimbursed with federal funds must attest that charges on their time and attendance record reflects their actual efforts. Activity not clearly required or benefiting a specific source of funds may be attributed to any of the fund sources which may benefit from that activity. However, when charging such activities, care must be taken that the overall distribution of such charges is reasonable in terms of the proportion of benefit for the fund sources charged.

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Document retention—All records (programmatic and fiscal) related to a grant-supported activity must be maintained for a period of at least three years after whichever of the following events occurs last: the close of the grant award, the end of the last audit period covering any portion of the award period, or the resolution of any audit question or issue. Such documentation is subject to review by the U.S. Department of Justice, the Department of Commerce, any other state agency sub-awarding U.S. Department of Justice grant funds, the state Auditor’s Office, and any entity authorized by any of those agencies.

Procurement standards—Standards for procurement are addressed in more depth in [Appendix N](#). However, the following requirements should be noted by every applicant/grant recipient before their first expenditure.

- State and local units of government may utilize their own procurement standards provided they have been fully documented and systemically reviewed and approved.
- All units of state or local government not utilizing their own approved procurement system, and all grant recipients that are not units of state or local government must comply with the requirements of Common Rule A-102 and OMB Circular A-110.
- The state agency making sub-awards must approve in advance all sole-source contracts up to \$100,000. The U.S. Department of Justice must approve in advance all sole-source contracts of \$100,000 or more.
- Use of an approved procurement system does not equate to procurement authorization. Every item or service procured must be allowable, necessary, and reasonable for the grant program.

Property management and inventory—Program assets, whether procured with grant or matching funds, must remain dedicated to the grant-supported activity for which they were procured.

- Inventory Controls—All items that meet the federal definition of equipment—that is any item costing \$5,000 or more with an expected life of one year or more, whether acquired in part or in whole with grant or matching funds—must be subject to the following controls.
 1. Property records must be maintained which include:
 - a. Description of the property.
 - b. Serial number or other identification number.
 - c. Source of the property (procurement/acquisition source).
 - d. Identification of title holder.
 - e. Acquisition date.
 - f. Cost of the property.
 - g. Identification and percentage of the item cost by fund source (individual grant awards, individual awards matching funds, other specific fund sources).
 - h. Location of the property.
 - i. Use and condition of the property.
 - j. Disposition data including date, disposition method, and realized value or assessed fair market value if not sold.
 2. **Physical inventory and update of every item and data element identified in the “property records” above, at least every two years.**

3. A control system must exist to ensure adequate safeguards to prevent:

- a. Loss.
- b. Damage.
- c. Theft of the property.

Any loss, damage, or theft shall be investigated by the grant recipient, and the appropriate property records will be annotated with the essential information and findings.

4. Property records and inventory records are subject to monitoring and audit review. These records will be maintained at the project level, in addition to such other location as the grant recipient organizational policies require.

○ Disposition Procedures

1. Items with a fair market value of \$5,000 or less, and of no further value to the grant supported activity, may be:

- a. Sold with the proceeds returned to the grant-supported activity.
- b. Traded in for replacement equipment dedicated to the grant supported activity.
- c. Sold with the proceeds dedicated to the closest successor activity if the grant supported activity has been terminated.
- d. Retained by the grant recipient for other uses.
- e. Transferred to the nearest successor activity administered by an agency other than the grant recipient.
- f. Disposed of in accordance with the grant recipient's established policies.

2. Items with a fair market value in excess of \$5,000, procured in whole or in part with grant or match funds and of no further value to the grant supported activity, may be:

- a. Sold, with the portion of the net proceeds equating to grant funds used in its acquisition set aside for disposition, in accordance to instructions from the Department of Commerce (COMMERCE).
- b. Retained by the grant recipient, with the portion of the assessed fair market value equating to grant funds used in its acquisition set aside for disposition, in accordance with instructions from COMMERCE.

In either case, within 30 days of determining that an item is of no further value to the grant-supported activity, the grant recipient will provide COMMERCE's Public Safety Unit with the following:

- The item's property record data (see inventory controls).
- Its intentions and disposition action to date.
- A request for disposition instructions.

Cash funds, unless handled appropriately, are one of the most common causes of fiscal error, and a leading cause for the introduction of malpractice in the workplace.

Because of the potential for abuse and the common spread of improper conduct through the workplace once it starts, cash funds—regardless of source (grant, match, or other local funds)—are subject to monitoring review.

The authority and controls for a cash fund, either as petty cash or as a confidential expense fund for narcotics investigations, must be established in writing or periodically reviewed.

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Unless the following requirements are satisfied by equivalent local policy and document procedures which offer at least equivalent protection, controls should include:

- The amount of cash funds to be maintained on hand; and the total amount authorized for a fiscal year without management review should be established in policy.
- One individual should sign for the funds and be responsible for any shortage or loss.
- Physical access to and disbursement of cash funds should be assigned to one individual. Emergency access procedures should be established regarding third party (under signature) access to back-up keys/combination. Procedures for changing the individual signing for the cash funds should also be made in the event of a prolonged absence (leave, out-of-state training, etc.) by the normal fund controller. Policy for such access, at the earliest practical date, must also include the subsequent inventory of funds and change of the combination.
- Distribution of funds shall be made only for certain locally prescribed purposes and shall be entered into and signed for in a receipt book. Returned funds shall also be acknowledged through use of the receipt book. Receipts shall include the printed name and signature of the person to whom the funds are disbursed, who disbursed the funds, and the purpose of the disbursement (case number, payment of delivery fee, etc).
- A running ledger of disbursements, returns, and replenishment of the funds will be maintained to show the total amount disbursed and the total returns since the start of the local fiscal year; the net disbursement (expenditure) since the start of the fiscal year; the current balance of cash; and cash out on receipt. In the case of confidential investigative funds, each entry should also record the relevant case (and/or informant) number.
- For confidential funds, the supported case files and corresponding informant files will reflect the amount of cash funds expended, by whom, and for what (in drug purchase, include the type and quantity of drug[s] purchased).
- Reconciliation of the cash account will be made, at least semi-annually, by an individual without fiscal interest in the outcome of the review and who is not supervised (directly or indirectly) by the individual responsible for control of the cash account. The review will include the issued amount (including replenishments), cash on hand, and receipts on hand. A copy of the reconciliation will be maintained with the cash account, and another copy will be forwarded to the fiscal office. If discrepancies are noted, a copy will be provided to the agency/department management.
- Losses will be investigated and will not be written off without written approval of the agency/division management.
- Review of cash control policies by an individual trained in fiscal accountability is highly encouraged for agencies either establishing or reviewing their cash control policies. Technical assistance from the Department of Commerce is available upon request. Such review should be documented and added to the projects records.

Confidential funds (Purchase of Evidence/Purchase of Information [PEPI]) are subject to all the requirements of cash funds as well as the following requirements.

- An individual not part of the investigative unit will conduct reconciliation of supporting confidential investigation records with the cash funds at least once a year. The reviewer will verbally announce the case/file number from the ledger and check the supporting receipts. An individual authorized to access the investigative records shall locate/open the corresponding file announced by the reviewer and read off the date of the expenditure,

expended amount, and purpose of expenditure (information, or type and quantity of drug purchased) for comparison by the reviewer with ledger entries. The individual checking the case file will also announce whether any funds expended for drug purchases ‘walked’ or were recovered and logged as evidence.

This process requires two individuals: one external reviewer with access to only cash account records, and one individual authorized access and extract specific data elements from investigative and confidential informant files. At no time should the authorized individual provide law enforcement sensitive information to the external reviewer.

- Reconciliation discrepancies, including return of funds before the annotated disbursement date, shall be entered into the reconciliation report and submitted for review by the agency/department management.

Note: Every agency utilizing grant, match, or program income as confidential funds must ***complete the “Confidential Fund Certificate” found in Appendix-04.***

- Agencies utilizing confidential funds shall have a process in place to adjust the total of grant or match funds reported as expended, such that the reported value does not include funds recovered after drug buys (and subsequently held as evidence) on the final reimbursement request of the grant period. The purpose of this adjustment is to reflect the true expenditure of the grant’s match. Funds held as evidence will ultimately be released to the law enforcement agency for future use, and as such should not be considered expenditures for purposes of grant reimbursement of match calculation.
- The amount of funds recovered after drug buys, and subsequently held as evidence, should be reported to law enforcement management along with the total funds disbursed to purchase drugs. This practice will clarify for law enforcement management the long-term, net cost of drug buys and how much is tied up as evidence.

Audits—All direct or sub-recipients of federal grants will comply with the audit requirements of [OMB Circular A-133](#), as further described in [OJP’s Financial Guide, Chapter 19](#).

Grant recipients that expended \$500,000 or more in federal funds (all federal awards) in a fiscal year are required to have an A-133 audit. This requirement applies to the entire organization, not just to a specific project or department (for example: Spokane County, not just Spokane County Sheriff’s Office or the regional gang or drug task force).

Grant recipients that expend less than \$500,000 in federal funds during a fiscal year are not required as a condition of this grant to have an audit, nor are the costs of any audit conducted chargeable as a grant/match expense. However, should an audit be conducted, a copy of the audit must be made available upon request to the state agency awarding grant funds.

Limitations on overhead and indirect charges—Overhead and indirect are mutually exclusive terms. Overhead may not be charged for a function included in the approved indirect rate, and vice versa.

- **Overhead**, for the purposes of this section, is administrative costs which are not exclusive to the grant supported activities. Charges for such costs are valid expenses only to the extent that they are directly attributable to the grant supported activities. Examples of valid and invalid charges follow.

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- Invalid Charges
 - A simple assessment for accounting services to each fund managed by the fiscal unit of \$10,000 to offset the costs of operating the fiscal unit.
 - Proportionately charging each fund on the basis of total funds available with each fund to offset the operation of the fiscal unit.
- Valid Charge (Note: The assessment/cost allocation study and calculation used to justify the charge must be retained on file [grant project's records].)
 - The average monthly cost of processing monthly vouchers is \$5,000,* as determined on the basis of dividing last fiscal year's total expense for this function and adjusting for salary increases granted effective the first day of the current fiscal year.
 - The average number of vouchers processed by the fiscal section per month is 1,400/month, 20 percent of which are from the Sheriff's Office. Of the Sheriff's Office vouchers, seven percent relate to operations of the funded project inclusive of payroll for assigned officers. These numbers are an average of the workload analysis for the months of February, June, and November of the last completed calendar year, adjusted for the discontinued project XXX.
 - The task force total budget is \$1,000,000, of which \$200,000 (20 percent) is provided by this grant.
 - Therefore a valid charge of \$140 may be assessed

$$\begin{array}{ccccccc}
 \$5,000^* & \times & 20\% & \times & 7\% & \times & 20\% & = & \$140 \\
 \text{Total function cost} & & \text{Sheriff} & & \text{Project} & & \text{Grant} & & \text{Valid charge}
 \end{array}$$

The key to the process necessary in making the above assessment valid: the expenditure supports the grant activity in proportion to the grant funds versus total funds supporting the grant activity.

Limitations:

- ¹ The total cost that is proportionately allocated for a given function is a valid charge to a grant-supported activity, provided all funded activities benefiting from that function are charged. If one or more funds (activities) are to be 'held harmless' (not charged), and their proportion of the total cost is shared across the remaining funds, then none of the function is eligible for payment with grant funds. Federal funds as a matter of law, and state funds as a matter of policy, may not be utilized to support costs not attributable to the funded activity.
 - ² Administrative charges calculated on this basis must be reported on their own line on reimbursement vouchers submitted to the awarding state agency.
 - ³ Technical assistance from the Department of Commerce is available to agencies desiring to recoup overhead from grant-supported activities.
 - ⁴ All restrictions and conditions applied to Authorized and Unauthorized Expenses apply to overhead charge against the grant.
- **Indirect Rates** are established as the result of cost analysis, and are approved by the receiving agency's cognizant federal agency. The cognizant agency is normally the federal agency that directly or indirectly provides the largest cumulative share of federal funds to the receiving agency.

Such rates, unique to each agency, normally specify which functions they are for as well as the basis of calculating the rate. For example, such a rate may be for 30 percent of combined salaries and benefits, rent and space related costs, services offered by human resources, or payroll and procurement. If an indirect rate is applied, no cost element specified in the indirect rate may be charged in any form to the grant.

For valid indirect charges, the indirect rate information must be specified in the grant application or other document submitted at the time of application to, and approved by, the state awarding agency. The information required in such a submission includes:

1. Approving cognizant federal agency.
2. Date of approval.
3. Approved rate.
4. Basis for calculating the rate.
5. Categories of expense supported by the approved rate.

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CHAPTER 4—ADMINISTERING AGENCY GRANT POLICY

Advance Payment is normally not allowed. It would require both specific state (and federal if relevant) pre-approval and an insurance policy covering any inappropriate expenditure or loss. Such insurance policies must name the state agency making the award as the beneficiary.

Interest Bearing Account—When advance payment is authorized, the funds must be deposited in a separate interest bearing account unless the application package specifically states otherwise. The interest earned is considered program income, must be expended for the same purpose as the grant funds, and is subject to the same restrictions on use. There is an exception on usage in that it is not subject to the line-item budgeting of grant funds or match, unless it is used (counted as) match.

Reporting Expenditures—Expenditure reporting for advanced funds is handled the same as for all other funds, except that no reimbursement is to be made.

Expenditure Period—All advance funding and any program income earned must be expended within the sub-award period, or reimbursed to the state agency making the sub-award. Exceptions to this may be made, depending upon the period of the award to the Department of Commerce (COMMERCE) and whether the sub-recipient is to receive continuing funding within the same grant program.

Note: This is a change from prior federal grant provisions.

Requesting payment—Reimbursement of expenditures

Frequency of requests—Sub-recipients shall request reimbursement on a monthly basis. Sub-recipients with only small expenditures may delay reimbursement, but shall request reimbursement at least quarterly.

Timing of reimbursement requests—expenditure reports:

Initial and interim reimbursement requests are due within 15 days of the end of the billing period. Delay of these requests until the end of the month following the end of the period does not cause undue tracking problems.

Final or closeout reports are ***due within seven (7) days of the end of the award*** period. Due to state fiscal year closeout requirements, ***funds may be de-obligated*** and may not be available for disbursement after that date. Any grant recipient foreseeing difficulty meeting this due date should contact, well in advance, the grant manager of the state agency making the sub-award.

Grant recipients should consider:

- Expending grant funds before other available funds to ensure timely reporting, if the availability and expenditure of other funds may be relied upon to continue the grant/project operations at the required level through the balance of the grant period.
 - Care must be taken to ensure that sufficient match is expended, and repayment of grant funds is not required.
 - A closeout expenditure report may be submitted after the seven-day reimbursement window to correct the match funding reported as expended.

- Estimating expenditures when a consistent level of operations has been demonstrated and is expected to continue through the end of the award period.

A closeout expenditure report may be submitted after the seven-day reimbursement window to correct minor deviations between expenditure categories. This option is preferred whenever the sub-recipient has expended significantly more match than required, or may legitimately reclassify other expenditures not reported as match. This allows expenditures to be reclassified as grant funds and avoid repayment. **Note:** Sub-recipients must reflect the corrected categorization of match/grant funds even though the award period is closed.

Overhead expenses should be included in the same reimbursement request as the operational expenses they support, or in the first reimbursement request following payment of the overhead expense. Overhead charges not billed during the first three quarters of an award period are not allowable expenses (example: indirect may not be held in abeyance for nine months to allow operations full use of the funds, and then billed for the entire year when it is determined that operations will not utilize all of the award).

Report forms are tailored to each grant program, year of funding, and individual grant project (contract). COMMERCE provides the sub-recipient blank forms when returning their fully executed contract, or as part of the application package. An Excel version of each sub-recipient's reimbursement voucher is available upon request.

Do Not Use a previous award's reimbursement voucher, whether in hardcopy or in Excel. Each award voucher is coded to reflect the program, source year(s), authority, and specific sub-recipient award. The use of a voucher from a previous award will cause erroneous tracking of grant funds and/or multiple corrective actions.

Estimating expenses for reimbursement purposes is allowed under the following conditions:

- Reimbursement is requested monthly.
- Project participants cannot get their fiscal reconciliations done soon enough for the grant recipient to generate timely reports.
- The sub-recipient tracks the expenditures that are estimated, and corrects the following monthly reimbursement request by category of expense, such that the cumulative expenditure to date is correct.
- Special care is required if the reimbursement request being prepared/submitted is a final or closeout voucher (see "[Timing of Reimbursement Requests](#)" requests above). ***A final or closeout voucher that is estimated must be clearly marked as an "Estimate".*** Payment may be obligated based on the estimate, but will not be disbursed until the estimate is verified and a signed replacement voucher received.

Correction of prior expenditures is to be made on the first reimbursement request following detection of the error, or by a special expenditure report not requesting payment. The increase/decrease in each affected category of expense is to be applied to the current period's expenditure.

Example: The prior report omitted \$315.28 of overtime (salary) expense
 The current period's salary expense is \$1,500.00
 The reimbursement request for the current period should be for \$1,815.28

Program/Activity Reporting is required on a quarterly basis for all grant recipients/sub-recipients, unless otherwise specified in the contract. Each agency receiving grant funds or acting as a partner in a grant-supported project should build this into their ongoing operations.

- Activity reports are *due even if there is no grant activity*.
- **General activity reports** are *due not later than 15 days after the end of each calendar quarter*.
- **ARRA activity reports** are *due not later than 6 calendar days after the end of each calendar quarter*.
- Delaying data collection until the end of a report period is more work than collecting data as activity takes place. Important details may not be available if sought ‘after the fact.’
- Each report must clearly indicate:
 - The program.
 - The project.
 - The grant recipient/sub-recipient.
 - The contract number.
 - The time period of the report.
 - Whether or not the report is cumulative (from start of grant to date).
- Included data must support: each element specified in the grant application packet published by the state agency awarding the sub-award, the grant recipient’s application, and the contract or interagency agreement awarding funds to the grant recipient.
- Additional information which is indicative of project success is encouraged, but not in lieu of the required data elements.
- Use of *bulleted phrases is acceptable*.
- Program level reports using every related quarterly report must normally be submitted to the federal source agency no later than 30 days after the end of every semi-annual calendar period. The following day the federal reporting systems are shut down, and if entry has not been completed the state is automatically ‘Out of Compliance’ with federal requirements
- It is the position of COMMERCE that funds are awarded to grant recipients and sub-recipients to enable them to implement programs that they desire to implement; and that timely and complete reporting is not an undue burden in exchange for those funds. Failure to submit reports in a complete and timely manner results in rushed reporting and/or reporting that poorly reflects the state’s use of funds. Such reporting endangers the availability of grant funds to every other recipient that receives grant funding in the state.
 - *Funds may be withheld* from agencies not submitting timely and complete reports.
 - *Awards may be terminated* for repeated failure to submit timely and complete reports.

Grant recipient—Contractor—Fiscal agent

Fiscal Agents as **grant recipients** are responsible for all matters pertaining to the application, contract, project implementation, and reporting. Should the grant recipient not also be the lead agency involved in the implementation of the grant, the grant recipient must coordinate with the other participating agency(s), firmly establishing responsibilities to accomplish all requirements of the grant, and thereafter tracking completion of such requirements. Mere execution of inter-local agreements assigning internal roles and responsibilities does not transfer any responsibilities under the grant and contract from the grant recipient.

Fiscal agents as project participants must be clearly authorized as such by the grant recipient. The grant recipient must notify the state agency awarding the grant regarding:

- Selection and identity of a fiscal agent.
- Roles and responsibilities assigned to the fiscal agent.
- To whom disbursements are to be made payable.
- Where the disbursements should be sent (mailing address or bank transfer codes).

The grant recipient is still responsible for all actions of the assigned fiscal agent and should provide the fiscal agent with complete copies of the project's application, grant award (contract), and any associated documents. If the fiscal agent has not previously fulfilled this role in relation to the specific grant, the grant recipient and/or fiscal agent should contact the awarding state agency for training and a full review of their obligations under the grant.

Fiscal agents must be available for monitoring and audit reviews as scheduled through the grant recipient.

Contract changes/amendments may be required for three reasons: change in the situation being addressed; identification of a better way to do things; revised federal guidance/requirements.

Changes should be requested as soon as the need to do so becomes apparent. Requests made with less than a month remaining in the award period pose undue, although not impossible, burdens.

Requesting a change or amendment to a provision of a contract/grant must be made in writing, and signed by a designated individual of the grant recipient. The change may be submitted by conventional hardcopy or by email. Email requests may either contain a scanned copy of a signed request, or must be submitted from an email address which is clearly that of an authorized signatory.

- Contracting agency is not an element of the contract that may be changed by a contract amendment.
- Budget amendments, limited to a shift of funds between budget categories but not including an increase in funding, require the following: a statement of why the change facilitates implementation of the grant program, a crosswalk of the original budget, the requested change, and the desired final budget.

Example:

Rationale—The department requests this change since there has been a significant drop in the cost of procured equipment. Shifting \$10,000 of the equipment allocation to salaries and benefits will allow another analyst to be assigned to the project. The overall affect is an anticipated increase of service by approximately 30 percent over original projections.

	<u>Original Budget</u>	<u>Proposed Change</u>	<u>Proposed Budget</u>
Salaries	18,000	+7,500	25,500
Benefits	6,000	+2,500	8,500
Goods & Services	2,100		2,100
Equipment	16,950	-10,000	6,950
Travel and Training	<u>750</u>		<u>750</u>
Total	43,800	-0-	43,800

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Note: The rationale does not need to be comprehensive, but must serve to convey the desires of the grant recipient and present the proposal in a manner that makes sense to the granting agency.

- Statement of work amendments must be supported by a similar rationale to that required of budget amendments. The primary limiting factor to such proposals is the impact the proposed change will have upon the original project proposal (the basis of a project's selection over another proposal). The most common cause for such a change is either the addition to or deletion of a significant activity, such as funding aftercare within a project that previously only provided residential treatment.
- Extensions may also be requested. However, authority to extend most awards is limited by a number of factors, and is dealt with on a case-by-case basis.

Unilateral changes are restricted to a very limited number of contract elements. The primary elements include the award amount, the source of funds, contractual terms to comply with changes in federal law or grant regulation, and truncation of end dates. The ability to make unilateral changes is important since it allows a change to be made in a very short period without excessive administrative routing.

Application amendments may be used to quickly change operational and budget distribution components of an award. When an application's statement of work or budget is incorporated by reference into a contract, the contractor may request that elements of their application be amended in lieu of a formal contract amendment. As applications are administratively approved, such changes may also be administratively approved. The practical limitations of such changes: they may not conflict with any expressly stated condition of the contract (including total award, award period, statement of work, or budget categories/distribution), and the change must not constitute a significant change in scope of work if the award was made on a competitive basis. Proposed changes should first be discussed with COMMERCE staff. If pursued, those changes must be in writing (preferably email), and will not be effective unless/until written approval is received.

Unilateral changes made in accordance with this section are binding upon all affected grant recipients, with or without their consent or agreement having been previously solicited or received.

Truncation is an amendment to an award period, ending it sooner than originally agreed upon, without a corresponding reduction in funding. Truncation may be requested by either party or unilaterally imposed by the state agency awarding grant funds to sub-recipients.

Suspending payment (freezing of grant funding) may be unilaterally imposed by the state agency awarding the grant funds to an individual grant recipient, and immediately halts all processing of grant funds to the individual grant recipient.

The most common causes for this sanction:

- a. Failure to comply with reporting requirements when such compliance is essential for the state to satisfy its contractual obligations to the federal government.
- b. Failure to comply with provisions of either state or federal law.

However, this sanction may also be imposed as an interim measure if either truncation or termination is being considered.

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When non-compliance with reporting requirements is the stated cause of the freeze, compliance that is responsive enough to allow the state to meet its contractual or legal obligations will automatically result in lifting the restriction.

During a freeze, unless specifically stated otherwise, the grant recipient may provisionally continue to obligate grant funds. The provision is that the cause is resolved in a timely fashion prior to the due date of reports to the federal government or another announced date.

Such notice may be telephonic to any individual identified on the grant application. If the cause of the freeze is not promptly resolved, written notice will be provided within seven (7) working days of the initial notice.

Termination is the early close of a grant award, and may be effective either immediately upon notice or upon a specified date (usually no later than the end of the next complete month).

Normally termination is only exercised upon failure of the grant recipient to comply with the terms of a grant award; commission of an act by representatives of the grant recipient causing grave doubt about their ability to be productive or legally utilize grant funds; or failure to respond to audit or monitoring findings by the required date.

Termination may be preceded by a notice that the grant recipient's funds have been frozen. In any event, from the date that grant funds are frozen or the effective date of the termination, whichever is earlier, obligation of funds by the grant recipient is no longer authorized and may not be lawfully expended by the grant recipient, nor reimbursed by the state agency which made the sub-award.

Termination is always a unilateral change to a grant award, and once effective is final.

Repayment and adjustments—Funds not expended for authorized uses within the award period must be repaid. After the end of the award period, action to correct an erroneous expenditure, other than repayment, is extremely limited. The grant recipient must immediately notify the program manager at the awarding state agency and request instructions.

Erroneous expenditure of grant funds is not the only cause requiring repayment of grant funds. There are two other causes:

- ***Failure to expend sufficient match requires repayment, not of the amount of match due, but of the grant funds supported by the match expenditure.***

Example: A grant award of \$30,000 requires one dollar of match to be expended for every dollar in grant funds. If only \$7,500 of match was expended, only three times that amount (\$7,500 x 3)—\$22,500—is supported by match. Any grant funds received above the supported amount must be repaid.

- Certain grants may have specific uses and/or performance conditions attached to them. Such uses and conditions may be specified in the grant award application package, the budget, or in Special Conditions. Failure to honor or achieve such conditions automatically makes expenditure of either a portion or the entire grant award unauthorized.

Example: A grant award is made for advocacy services and the statewide publication of related statistics. The project budget incorporated into the grant award's contract set aside \$4,000 of the total award for the quarterly publications of program

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statistics. It further specifies that only after the quarterly publications are produced (and meet the product specification listed) can the project use the remaining set-aside for other uses within the project's general scope of work.

If the terms are not met, none of the remaining funds may be expended. Special performance terms might also specify that if the grant recipient failed to publish the program statistics to standard, none of the \$4,000 set aside could be legitimately expended, and any reimbursement of those funds already made would have to be repaid.

Any agency discovering or suspecting such a problem before the end of their award period should contact the program manager at the state agency awarding the funds to the grant recipient as soon as possible. State staff will attempt to identify options that will allow the grant recipient to correct the situation and make appropriate, productive use of the grant funds before the end of their grant award.

Repayment must be made by check, clearly identifying the grant to which the repayment applies, and made payable to the state agency awarding the funds to the reimbursing agency. Any state agency sub-awarding grant funds other than the COMMERCE must, in turn, reimburse COMMERCE.

Carryover—The balance of unexpended funds at the end of an award period do not carry over to any subsequent award. Such balances are de-obligated and are either added to the funds available for subsequent awards, or surrendered back to the awarding federal agency.

Post-contract recipient responsibilities include:

- Reporting.
- Auditing (dependent upon the size of the award and the total of federal funds received).
- Return of unexpended funds received.
- Disposition of program assets when no longer of use for the funded project.
- Retention of files.
- Cooperation in program audits.

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APPENDIX A—ADMINISTRATIVE PREREQUISITES FOR RECEIPT OF FEDERAL FUNDING

There are a number of administrative prerequisites to the receipt of federal funding beyond the operational and fiscal management requirements described elsewhere in this manual. The most common include:

1. **DUNS number registration in the CCR system**—Each agency must have registered its “Dun & Bradstreet Uniform Numbering System” identifier in the Central Contractor Registry within the Grants.Gov database to be eligible to receive federal funds; and must thereafter maintain a valid registration throughout the life of every federal award or sub-award.

DUNS registration in the CCR system is valid for only one year, even though the system will retain the DUNS number. Should the registration lapse, the authority to be awarded funds—or to obligate, expend, and reimburse funds by/for the applicant/contractor—also lapses, and resumes upon updating the registration. The **sole mechanism used to test DUNS registration compliance** is the CCR Search tool found at:

<https://www.bpn.gov/CCRSearch/Search.aspx>

While any given agency may have several valid DUNS numbers for different divisions of its organization, only one may be registered in the CCR system. Thereafter only the number registered in the CCR system may be used in application or reference to a grant award (of state or federal funds). For example, if the Timbuktu County clerk registers a DUNS in the CCR system, every component of the county must use that DUNS number thereafter, regardless of whether or not it refers to another component of county government. If it is clearly not representative of the county as a whole, only the individual listed on the DUNS CCR registration as the registering official may work with Grants.Gov staff and substitute a more relevant DUNS number. If this occurs, the grant source of every award providing federal funds to the jurisdiction/agency must be notified of the change, on a grant by grant, award by award basis.

All applicants and contractors are **strongly urged to identify the individual(s) authorized to establish/update the registry** for their jurisdiction/agency, and to ensure that the identified individual makes an appointment reminder to update the registration well before the one year validity period lapses.

2. **Debarment**—Neither the contracting agency nor its parent organization may be debarred from the receipt of federal grant funds or contracts. While every grant recipient is required to execute a certificate to that effect, the granting agency verifies eligibility of the recipient using <https://www.epls.gov/>. The ‘Certificate regarding Debarment, Ineligibility and Voluntary Exclusion – Lower Tier Transactions’ has more detail on this prerequisite.
3. **Lobbying**—No grant recipient may utilize grant or matching funds to lobby for grant funds, legislative action or law, at any level of government. The ‘Certificate Regarding Lobbying, Debarment, Suspension and other Responsible Matters’ has more detail on this prerequisite. A number of jurisdictions, including the state, have more specific and restrictive rules regarding lobbying. The most restrictive rules apply to lobbying under this awards made for programs governed by this manual.

4. **Civil Rights Requirements**—Every agency receiving grant funding is required to comply with all aspects of both state and federal civil rights law. Furthermore every grant recipient is required to provide Civil Rights training to any/all participating agencies; such training may be satisfied by use of the ‘Civil Rights Requirements’ form found at [Appendix O3](#).
5. **Equal Employment Opportunity Plan**—Unless specifically exempt from maintaining an Equal Employment Opportunity Plan, every grant recipient or its parent jurisdiction/agency must prepare and maintain such a plan in accordance with 28 CFR Section 42.301 through 42.305.

Grant recipients receiving more than \$500,000 in federal funds in a single award must submit their EEOP to the Department of Commerce for forwarding to the U.S. Department of Justice.

Specifically exempted organizations are those that satisfy one of more of the following conditions:

- Recipient (jurisdiction or all components of a parent organization combined) has less than 50 employees.
- Recipient is an Indian Tribe.
- Recipient is a non-profit organization.
- Recipient is an educational institution.
- Recipient is a medical institution.
- Recipient's award is less than \$25,000.

The ‘Equal Employment Opportunity Plan Certificate’ has more detail on this prerequisite.

6. **National Environmental Protection Act**—All grant recipients must comply with provisions of the National Environmental Protection Act (NEPA). As full knowledge of the provisions of NEPA are beyond the scope of most program staff, completion of the NEPA certification, which tests for conditions which might require preparation of an Environmental Impact Statement, is required.

If ‘Yes’ is the appropriate response to any of the four tests, the grant recipient must provide further information as requested by the granting agency, the state’s Department of Ecology, the U.S. Department of Justice, or other federal agency charged with implementation of NEPA.

7. **Time and Attendance Records**—Every individual receiving reimbursement under any program governed by this manual must maintain ‘Time and Attendance Records.’ More information on this requirement is available on [Page 11](#) of this manual.
8. **Organization and staffing**—Different federal grant programs and individual programs funded with federal monies have specific/unique grant requirements. Requirements are specified in either the relevant program announcement/application package or in the relevant programs Appendices (H through L) of this manual.
9. **Pass Through of Grant Conditions**—Every grant recipient is required to ensure that all pre-requisites, conditions, and requirements of grants governed under this manual are complied with by all of their sub-awardees, including participating/partnering agencies receiving grant funds or generating cash match for the funded activity. Additional information may be found in [Appendix M](#).

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APPENDIX B—STANDARD ALLOWABLE EXPENSES

Allowable costs are limited to those costs that are reasonable and necessary to the implementation of a project, attributable to the project and consistently treated, and authorized under this grant.

Authorized costs:

- Salaries and overtime are authorized provided that compensation is reasonable and consistent to pay for similar work in other activities within the state. Overtime and other differential pay for units of local government will be approved by the Department of Commerce (COMMERCE) provided that the rates are in accordance with the policies of the jurisdiction. Overtime and other differential pay for non-governmental grant recipients will be approved by COMMERCE provided that they are fully explained in the grant recipient's approved project application.
- Benefits and Position-Related Allowances are authorized, provided that compensation is reasonable and consistent with pay for similar work in other activities within the state.
- Consultants/Contracts:
Consultation:
 - Consultant compensation for individual services must be reasonable and consistent with pay for similar services in the marketplace. The maximum authorized rate is \$450 per day unless prior approval is obtained in writing.
 - Consultation provided by commercial and non-profit organizations is subject to competitive bidding procedures and limited to the existing market costs for such services, not by the \$450 a day rate.
 - Consultation compensation for individuals associated with educational institutions is limited to the consultant's academic salary (annual) divided by 260.
 - Consultation compensation for individuals employed by government agencies is authorized only when the agency will not provide the consultation without payment. If payment is required, it is limited to the daily salary rate of the individual. Note: if the individual is not representing the employing agency, their compensation should be treated as a private/commercial individual.

Contracts:

- Contracts to perform business functions essential to the operation of the grant activity, which are not part of the statement of work or defined in the grant application, do not require prior approval. (See "[Authorized with Prior Approval](#)" for contracting implementation functions.)
 - Contracts to perform business functions essential to the operation of the grant activity, which are defined in the statement of work or defined in the grant application, do not require prior approval.
- Equipment—excluding automatic weapons and purchase of vehicles. (See "[Authorized with Prior Approval](#)" for vehicles").

- Indirect Costs, allocated to the grant project, in accordance with federally approved indirect rates (see “[Limitations on overhead and indirect charges](#)”).
- Lodging and per diem within the General Accounting Offices’ rate schedule.
- Food and beverages are authorized where each of the following conditions applies:
 - Scheduled as part of a conference, workshop, or non-standard work related event.
 - Both the provision of the food/beverage and the cost is considered reasonable and necessary.
 - The food or beverage is available to all participants of the general event.
 - The food or beverage is not directly related to amusement and/or social events (any event at which alcohol is served).

General guidelines for determination of expense authorization are:

- Provide a speaker at a lunch or dinner.
- Support the event with a formal agenda.
- The event must be mandatory for all participants (not select participants only).
- Do not pay for bar charges with registration fees (program income).
- Do not make alcoholic beverages available at the event.
- Provide appropriate break foods.
- Surrounding events must provide substantive information.
- Do not end the events with a meal and/or break.
- Costs must be reasonable.

Note: Exhibits do not constitute substantive information.

Note: If the food and beverage supplied constitute a meal, per diem for that meal is not authorized (exemption for specific dietary rules/requirements is accepted).

- Space/Rent costs not exceeding the cost of space in a privately owned building (market rate) is allowed, subject to the following restrictions:
 - In a privately-owned building, allowable if the building is not owned by the grant recipient, or the grant recipient does not have a substantial financial interest in the building.
 - In a privately-owned building which the grant recipient owns or has a substantial financial interest, the cost of ownership is allowable (see Chapter 7 of Office of the Comptroller’s Financial Guide before allowing these costs).
 - In publicly-owned buildings where “rent rate” systems, or equivalent systems that adequately reflect actual costs, are employed.
 - Building maintenance and operation costs such as the cost of utilities, insurance, security, janitorial services, upkeep of grounds, and normal repairs and maintenance are allowable if not otherwise charged to the grant or the grant recipient.

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- Travel within the United States, at or below reimbursable rates approved by the federal General Services Administration (GSA). (See both “[Unallowable Expenses](#)” and “[Division of Overlapping Costs](#)” if the lodging rate is above the GSA approved rate.) (See “[Authorized with Prior Approval](#)” for travel outside the United States.)
- Training costs, inclusive of grant specific training and training required to maintain professional standards and/or certification.
- Other Costs:
 - Office supplies.
 - Project specific supplies supportive of activity(s) defined in the Statement of Work or grant application.
 - Communications (including postage).

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APPENDIX C—STANDARD COSTS AUTHORIZED WITH PRIOR APPROVAL

- Advertising for the supported project.
- Vehicle procurement (excluding armored vehicles) may be authorized by the Department of Commerce (COMMERCE) if requested at the time of application. Depending upon several factors, COMMERCE may have to request prior approval from the federal agency controlling the grant program.
- Contracts to implement/perform part of the effort of the grant project, as defined in the statement of work or grant application, require prior written approval by the state agency awarding project funds
- Renovation of facilities, when necessary as part of the approved grant project and does not constitute capital expenditures/improvements, is allowable after approval by COMMERCE and the federal agency providing the grant funds.

For general orientation only: Capital improvement is any change which increases the useful life or market value of the space. Capital expenditure is any expenditure that causes/buys a significant long term improvement/asset, or which is categorized by your agency's financial operating policies as a capital expense. If either is true, it is a capital expenditure.

- Automatic Data Processing (ADP) Equipment and Software. Digital, analog, or hybrid computer equipment and automated fingerprint equipment; auxiliary input/output equipment; and customized or designed software under this requirement.

Note: Standard desktop computers and/or laptop computers, printers, and common application software are not considered to be ADP equipment or software, and are not subject to prior approval under this requirement.

- Travel outside the United States. The prior approval requirement is inclusive of mileage, airfare, per diem, and lodging. For day trips only, those expenses incurred outside the United States require prior approval.
- Pre-agreement costs—costs incurred before the effective date of a grant—must be pre-approved by COMMERCE and the federal agency providing the grant funds.

Note: Requests for such approval should be submitted as part of the initial grant application. Such requests will be considered only when the rationale submitted demonstrates that such approval is clearly in the best interests of the grant program.
- Premium Pay, not including standard differential pay (for example, overtime/hazardous duty) approved by the grant recipient and approved by the awarding agency.

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APPENDIX D—STANDARD UNALLOWABLE EXPENSES

- Advertising for an agency or organization (distinction is made from advertising of a specific grant supported project/program).
- Alcoholic beverages/bar charges, except as part of an official investigation conducted in accordance with local investigative policy.
- Armored vehicle acquisition.
- Automatic weapons.
- Bonuses or commissions paid:
 - For the purpose of applying for or obtaining grant funds.
 - To officers or board members of a for-profit or non-profit organization.
- Compensation of federal employees (inclusive of travel related costs). Federal officials may be fed in conjunction with a larger meeting primarily involving non-federal employees through planned meals/snacks paid for as part for the general meeting costs. Reimbursement to a federal employee for meals in conjunction with such a meeting is not authorized.
- Construction.
- Contribution to contingency funds.
- Corporate formation.
- Direct payment to individuals for support services (for example, daycare support for individuals called as witnesses).
- Entertainment, inclusive of sporting events.
- Fund-raising.
- Costs incurred outside the project period. This does not include costs incurred within the eligible award/grant period, but before the effective date of a local award if prior approval of such a charge has been obtained. It does include all costs incurred before the beginning of an award period (dated from the announced beginning date, not the effective contractual date) or after the end of an award.
- Land acquisition.
- Laundry charges.
- Lobbying, inclusive of membership fees to organizations whose primary activity is lobbying.
- Lodging for conferences with 30 or more participants that are funded with grant funds, where the lodging rate is in excess of the General Accounting Office's regional lodging rate. The prohibiting condition is two-fold: whether the conference itself is supported by federal funds, or whether there are 30 or more individuals attending who are supported by federal funds. If either of these two conditions exists, no part of the lodging may be paid with federal funds, match, or program income. Distribution of the lodging cost between federal and other funds to reduce the amount charged to the federal funds is not authorized.
- Military equipment/supplies. This does not include items available to the general public through commercial sales.

- Payment of fines or legal penalties.
- Premium pay, where the premium is solely because it is using federal funds.
- Taxes, where the tax is imposed disproportionately upon the grant support activity. This does not include general applicable tax such as a gasoline tax or lodging tax.
- Rewards for tips resulting in arrest.
- Visa and passport fees.

APPENDIX E—DIVISION OF OVERLAPPING COSTS BETWEEN TWO OR MORE ACTIVITIES

When salaries and other costs apply to two or more grant programs, cost activities, project periods, and/or overlapping periods, prorating costs to each activity must be made on the basis of time and/or effort reported.

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APPENDIX F—FORFEITURE RESTRICTIONS - FEDERAL (also see ‘Program Income’, page 8)

1. The federal share of forfeitures is the dollar amount equivalent to the proportion of federal grant funds to the total task force budget, multiplied by the gross forfeiture.

Example:

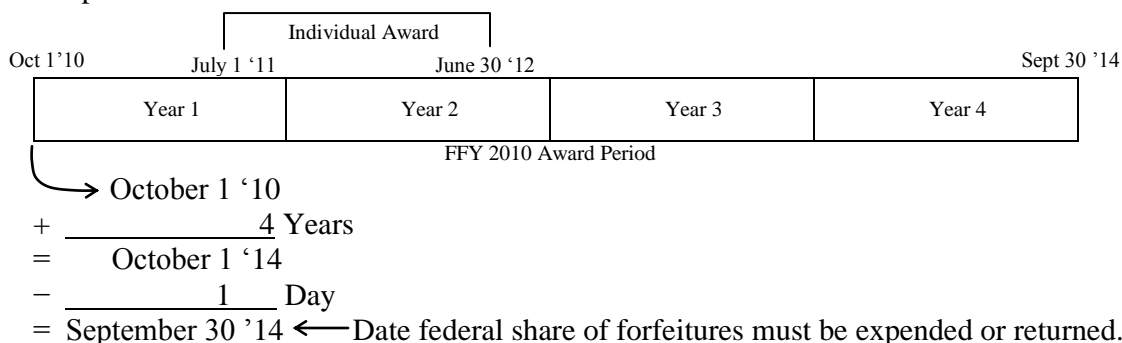
Grant Award	\$100,000	} $\$100,000 \div \$500,000 = 20\%$	Award	Total Budget
Total Budget	\$500,000			
Forfeiture	\$ 80,000			
Federal Share - Rate	$\times 20\%$			
Federal Share - Amount	\$ 16,000	← This is the amount subject to the restrictions placed on grant/forfeiture funds by federal regulations.		

2. The federal share of each forfeiture must remain dedicated to the seizing activity (for example, the task force or multi-jurisdictional effort for which the grant was made). These funds must be accounted for under the same standards as grant and match funds, except that the forfeiture date must also be tracked. When expended, the expenditure may be counted as match.
3. The federal share of each forfeiture must be expended within the grant award period in which it was forfeited*¹. Any portion of the forfeiture funds subject to federal claim, not expended by that date, must be returned to the federal government. Return of these funds is to be made by check and addressed to the Department of Commerce (COMMERCE), which will forward the funds to the U.S. Department of Justice.

To provide maximum flexibility to law enforcement agencies provided federal grant funds, COMMERCE will use its federal award period rather than the individual task force award period in order to allow a longer usage window.

Four years is the standard duration*² of a federal award which may be passed through to law enforcement, starting on October 1st of the calendar year preceding the beginning of the individual task force award. To determine the date by which the federal share of forfeitures must be expended or returned, add four years to the beginning date of the state award and subtract one day.

Example:



*¹ COMMERCE does not have authority to waive or extend this requirement.

*² Recipients of awards encompassing forfeitures will be notified of any change from this standard.

4. The grant recipient must ensure that it can clearly demonstrate all of the following:

- a) The federal share of forfeitures has been expended.
- b) Which forfeited funds (the date of the forfeiture) were expended.
- c) The date of the expenditure.
- d) The expenditure did not supplant funds which were otherwise budgeted for expenditure.

The accounting controls and paper trail needed to demonstrate these requirements vary for each grant recipient, dependent upon the specifics of its budgeting process and the how it receives authorization to expend funds.

It is highly encouraged that each grant manager reviews this requirement with their supporting fiscal office. The COMMERCE staff is available to assist in this review.

WARNING: Do not confuse the federal restrictions on the federal share of forfeitures with the restrictions imposed by RCW 69.50.505 or the U.S. Department of Justice Attorney General's Guidelines on Seized and Forfeited Property.

For forfeitures under federal rules:

- The grant restrictions delineated in this appendix apply to the share of the forfeiture calculated in Paragraph 1 on the previous page.
- The U.S. Department of Justice Attorney General's Guidelines on Seized and Forfeited Property apply to all of the seizure.

For forfeitures under state rules:

- The grant restrictions delineated in this appendix apply to the share of the forfeiture calculated in Paragraph 1 on the previous page.
RCW 69.50.505 applies to the balance of the seizing activity's forfeiture.

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APPENDIX G—JUSTICE ASSISTANCE GRANT - SPECIFIC INFORMATION/AUTHORIZATION

Maximum project award length:	Not limited
Maximum contract length:	24 months (Funding is provided on a State Fiscal Year-by-State Fiscal Year basis [July - June])
Allowable expenses:	All standard expense categories except those noted below.
Unallowable expenses:	Advertising Confidential funds, except law enforcement task forces Renovation or Remodeling of property: <ul style="list-style-type: none">- Listed, or eligible to be listed, in the National Registry of Historic Places- Located within a 100-year flood plain- Changing the basic prior use of a facility- Significantly changing its size Intelligence systems as defined by 28 CFR Part 23 (does not prohibit access/use or related expenses for HIDTA and RISS programs/systems)

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APPENDIX G1—MULTI-JURISDICTIONAL TASK FORCES - SPECIFIC REQUIREMENTS

Multi-Jurisdictional (Gang/Drug) Task Force Program

To be eligible for funding under this program, units of local government must comply with the following.

1. Minimum Participation: The task force must be comprised of full-time, co-located law enforcement personnel representing a minimum of three local agencies in the service area. Two of those agencies must be the largest agencies in the service area based on the number of sworn officers. For task forces previously designated as “small urban” or “rural,” the Washington State Patrol will be considered a local agency for purposes of satisfying this requirement.
2. Minimum Model: The task force must be staffed with at least three full-time narcotics investigators, one full-time supervisor, one half-time deputy prosecuting attorney, and one half-time administrative support person. The law enforcement personnel must be co-located.
3. Performance: The task force must agree to focus its investigative efforts to deter, detect, disrupt, and/or dismantle drug-trafficking organizations operating in and through its service area. In addition to any local priorities, goals and objectives must include:
 - a. A minimum of 80 percent prosecution success rate, as determined by dividing the number of defendants found guilty by the total number of all defendants prosecuted.
 - b. A minimum of 90 percent forfeiture action success rate, as determined by dividing the number of cases wherein criminally-obtained proceeds and/or property were seized and forfeited by the total number of cases in which such items were seized pursuant to forfeiture.
 - c. A minimum of 40 percent completed investigations resulting in multiple arrests. (Replaces the previous performance requirement related to “violator levels.”)
4. Reporting: Task forces must report semi-annual performance data by the 15th of the month following the reporting period. They must also complete and submit the annual Northwest HIDTA Threat Survey, regardless of HIDTA designation.
5. Cooperation: In general, the task force must agree to comply with recognized best practices in narcotics enforcement; in particular, those related to de-confliction of investigations and critical events. At a minimum, task forces will use the services of the Northwest HIDTA Watch Center and/or the Western States Information Network to achieve that end.
6. Governance: Governance of the task force must be set forth in a signed inter-local agreement specifying the obligations of each participating agency; the management of the task force; and the dissolution process to be followed.

Alternative Drug Interdiction Programs

Units of local government that cannot meet the requirements for funding as previously described may qualify for reduced funding, provided that any proposed alternative program meets the following criteria:

1. Minimum Participation: The drug interdiction program involves a local agency working cooperatively with at least one other local, state, and/or federal agency.

2. Performance: The program mission is to deter, detect, disrupt, and/or dismantle drug-trafficking organizations operating in and through its service area. The program works toward achieving measurable goals and objectives, which must include both 3a and 3b above.
3. Reporting: (Same as previous page.)
4. Cooperation: (Same as previous page.)

**APPENDIX H—RESIDENTIAL SUBSTANCE ABUSE TREATMENT - SPECIFIC INFORMATION/
AUTHORIZATION**

Maximum project award length:	Not limited
Maximum contract length:	12 months
Allowable expenses	All standard expense categories except those noted below
Unallowable expenses:	Advertising Confidential funds

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APPENDIX I—PROJECT SAFE NEIGHBORHOODS - SPECIFIC INFORMATION/AUTHORIZATION

Maximum project award length:	Not limited
Maximum contract length:	Varies upon termination date of the federal award to the state.
Allowable expenses:	All standard expense categories, specifically including program advertising (<i>not project/agency advertising</i>), except those noted below.
Unallowable expenses:	<p>Advertising – Public service announcements for:</p> <ul style="list-style-type: none">- “Mothers”- “Sentenced”- “Family Prison” <p>Confidential funds (including rewards)</p> <p>Gun buy-back programs</p> <p>Gun locks</p> <p>New Construction</p> <p>Renovation or Remodeling of property:</p> <ul style="list-style-type: none">- Listed, or eligible to be listed, in the National Registry of Historic Places- Located within a 100-year flood plain- Changing the basic prior use of a facility- Significantly changing its size <p>Research and technology whose anticipated and future application is expected to have an effect on the ecology</p> <p>Implementation of a program involving the use of chemicals</p>

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APPENDIX J—FORENSIC SCIENCE IMPROVEMENT - SPECIFIC INFORMATION/ AUTHORIZATION

Maximum project award length:	Not limited Continuation funding dependent upon continued project recommendation by the Forensic Investigations Council
Maximum contract length:	12 months (federal award period to the state)
Allowable expenses:	Generally allowed expenses, subject to general restrictions Special restrictions may vary (see application/contract)
Unallowable expenses:	Advertising Confidential funds
Special condition:	Recipients must agree to external investigation of alleged improprieties related to the grant or to practices of the organizational unit conducting forensics/crime laboratory activities.

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APPENDIX K—DISPUTE RESOLUTION CENTERS – STATE FUNDS – SPECIFIC INFORMATION/ AUTHORIZATION

Maximum project award length:	<p>Not limited</p> <p>Funding is contingent upon legislative appropriations, and unless otherwise specified by legislation is awarded competitively.</p>
Maximum contract length:	<p>24 months</p> <p><i>Note:</i> Funding is limited to the state fiscal year for which it is appropriated. Appropriated funds may not be spent outside of the specific year (July - June) designated regardless of contract length.</p>
Allowable expenses:	<p>Unless otherwise specified in the program application package, the individual award budget, or special conditions, funds may be utilized for any purpose directly supporting the individual project’s Statement of Work.</p> <p><i>Note:</i> Funding is split to support two separate functions:</p> <ul style="list-style-type: none">• Increasing dispute resolution services/capacity• Increasing mediation of family plan disputes. <p>Either set of funds may support mediation of family plan disputes; however, funds designated for mediation of family plan disputes may only be used for that purpose.</p>
Unallowable expenses:	<p>Standard restrictions (see Appendix C)</p>

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APPENDIX L—FINANCIAL FRAUD AND IDENTITY THEFT – STATE FUNDS – SPECIFIC INFORMATION/AUTHORIZATION

Maximum project award length:	Not limited Funding is contingent upon legislative appropriations and, unless otherwise specified by legislation, is awarded competitively.
Maximum contract length:	24 months <i>Note:</i> Funding is limited to the state fiscal year for which it is appropriated. Appropriated funds may not be spent outside of the specific year (July - June) designated regardless of contract length.
Allowable expenses:	Unless otherwise specified in the program application package, the individual award budget, or special conditions funds may be utilized for any purpose directly supporting the individual project’s Statement of Work.
Unallowable expenses:	Standard restrictions (see Appendix C)

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APPENDIX M—SUB-RECIPIENT COMPLIANCE VERIFICATION

Each grant recipient is required to pass through grant requirements to its sub-recipients. A sub-recipient is any organization that is assisting in the program implementation/execution and will be reimbursed/paid with grant funds, excluding general service contractors (e.g. printers/hotels).

There are many ways to verify compliance. The most appropriate method depends upon a number of factors, including but not limited to the amount of federal funds passed through versus their total budget, audit findings, and accreditation.

The simplest method is certification/attestation. This requires each participating organization to complete the same certifications that you as a contractor are required to complete. However, this is not a valid verification method for all compliance requirements. Grant recipients must determine the methods to be used based upon their knowledge and the sophistication of their sub-recipients' internal controls.

A general list of grant conditions that must normally be passed through include, but are not limited to, the following (exact requirements vary by program).

- DUNS Number Registration in the Central Contract Registration (CCR) system. This is an absolute prerequisite to passing federal funds through to another entity.
- Non-Debarment Status—Check www.epls.gov/epls/search.do?report=true for each sub-recipient. Print out and retain the report for each. This is an absolute prerequisite to passing federal funds through to another entity.
- Use of Time and Attendance Records—Obtain and retain at least one time and attendance record for each sub-recipient employee being paid with grant funds.
- Equal Opportunity Employment Plan—Require a completed certificate ([Appendix O5](#)) for each sub-recipient.
- National Environmental Protection Act—Require a completed certificate ([Appendix O7](#)) for each sub-recipient.
- Drug-Free Work Place—Require a completed certificate ([Appendix O2](#)) for each sub-recipient.
- Lobbying Prohibitions—Require a completed certificate ([Appendix O2](#)) for each sub-recipient.
- Civil Rights Requirements—Require a completed certificate ([Appendix O3](#)) for each sub-recipient.
- Equal Treatment of Faith-Based Organizations—Ask if a sub-recipient is a faith based organization, and if so, refer to <http://www.usdoj.gov/fbci/> or the COMMERCE program manager for additional guidance.

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- Sound Financial Management/Audit Requirement—Refer to [Chapter 3](#). Request a copy of the sub-recipient’s last audit, and scan for discrepancies relevant to both general management and the reimbursed activities. If relevant discrepancies are identified, determine if they affect either the project or the management of federal funds. Then assess the reasonableness of any corrective-action plans. Follow-up and retain all collected information.
- Insurance/Liability Coverage—Refer to the contract for insurance requirements. A copy of at least the summary page or a memo specifying the documents reviewed should be kept on file.
- Procurement Practices—Refer to [Appendix N](#).
- Criminal Justice Policy and Procedure Guide published by COMMERCE, as amended—Ensure the sub-recipient has a copy or at least the web address of the on-line document.

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APPENDIX N—PROCUREMENT STANDARDS

To be published. Pending publication, the general guidance published in the U.S. Department of Justice, Office of Justice Programs, Office of the Comptroller's [Financial Guide](#) is extracted for your use.

PROCUREMENT STANDARDS

1. **General.** A state shall follow the same policies and procedures it uses for procurement from its non-federal funds. The state shall ensure that every purchase order or other contract includes any clauses required by federal statutes and executive orders and their implementing regulations. Sub-recipients of states shall follow the procurement requirements imposed upon them by the states. Other recipients and sub-recipients will follow OMB Circular A-110.
2. **Standards.** Recipients and sub-recipients shall use their own procurement procedures and regulations, provided that the procurement conforms to applicable federal law and the standards identified in the Procurement Standards Sections of 28 CFR Parts 66 and 70. Any recipient/sub-recipient whose procurement system has been certified by a federal agency is not subject to prior approval requirements of 28 CFR Parts 66 and 70. The awarding agency's prior approval will be required only for areas beyond limits of the recipient/sub-recipient certification.
3. **Adequate Competition.** All procurement transactions, whether negotiated or competitively bid and without regard to dollar value, shall be conducted in a manner so as to provide maximum open and free competition. All sole-source procurements in excess of \$100,000 must receive prior approval of the awarding agency. Interagency agreements between units of government are excluded from this provision.
4. **Non-competitive Practices.** The recipient/sub-recipient shall be alert to organizational conflicts of interest or non-competitive practices among contractors which may restrict or eliminate competition or otherwise restrain trade. Contractors that develop or draft specifications, requirements, statements of work, and/or Requests for Proposals (RFP) for a proposed procurement shall be excluded from bidding or submitting a proposal to compete for the award of such procurement. Any request for exemption must be submitted in writing to the awarding agency.

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APPENDIX O

COMMON FORMS

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**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

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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 whom 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 Non-procurement 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.

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

**CERTIFICATION REGARDING LOBBYING, DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS;
AND DRUG-FREE WORKPLACE REQUIREMENTS**

Applicants should refer to the regulations cited below to determine the certification to which they are required to attest. Applicants should also review the instructions for certification included in the regulations before completing this form. Signature of this form provides for compliance with certification requirements under 28 CFR Part 69, "New Restrictions on Lobbying" and 28 CFR Part 67, "Government-wide Debarment and Suspension (Nonprocurement) and Government-wide Requirements for Drug-Free Workplace (Grants)." The certifications shall be treated as a material representation of fact upon which reliance will be placed when the Department of Justice determines to award the covered transaction, grant, or cooperative agreement.

1. Lobbying

As required by Section 1352, Title 31 of the U.S. Code, and implemented at 28 CFR Part 69, for persons entering into a grant or cooperative agreement over \$100,000, as defined at 28 CFR Part 69, the applicant certifies that:

- (a) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the making of any Federal grant, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal grant or cooperative agreement;
- (b) If any funds other than 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 agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal grant or cooperative agreement, the undersigned shall complete and submit Standard Form - LLL, "Disclosure of Lobbying Activities," in accordance with its instructions;
- (c) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subgrants, contracts under grants and cooperative agreements, and subcontracts) and that all subrecipients shall certify and disclose accordingly.

- (b) Have not within a three-year period preceding this application been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
- (c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (1)(B) of this certification; and
- (d) Have not within a three-year period preceding this application had one or more public transactions (Federal, State, or local) terminated for cause or default; and

B. Where the applicant is unable to certify to any of the statements in this certification, he or she shall attach an explanation to this application

2. Debarment, Suspension, and Other Responsibility Matters (Direct Recipient)

As required by Executive Order 12549, Debarment and Suspension, and implemented at 28 CFR Part 67, for prospective participants in primary covered transactions, as defined at 28 CFR Part 67, Section 67.510 –

- A. The applicant certifies that it and its principals:
- (a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, sentenced to a denial of Federal benefits by a State or Federal court, or voluntarily excluded from covered transactions by any Federal department or agency;

3. Drug-Free Workplace (Grantees Other Than Individuals)

As required by the Drug-Free Workplace Act of 1988, and implemented at 28 CFR Part 67, Subpart F, for grantees, as defined at 28 CFR Part 67, Sections 67.615 and 67.620—

- A. The applicant certifies that it will or will continue to 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 an on-going 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 program; and
- (4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;
- (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 in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;
- (e) Notifying the agency, in writing, within ten calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to: Department of Justice, Office of Justice Programs, ATTN: Control Desk, 633 Indiana Avenue NW, Washington, D.C. 20531. Notice shall include the identification number(s) of each affected grant;
- (f) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted—
 - (1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; 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).

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

Place of performance (street address, city, county, state, zip code):

Check ☐ if there are workplaces on file that are not identified here.

Section 67, 630 of the regulations provides that a grantee that is a State may elect to make one certification in each Federal fiscal year. A copy of which should be included with each application for Department of Justice funding. States and State agencies may elect to use OJP Form 4061/7.

Check ☐ if the State has elected to complete OJP Form 4061/7.

Drug-Free Workplace (Grantees Who Are Individuals)

As required by the Drug-Free Workplace Act of 1988, and implemented at 28 CFR Part 67, Subpart F, for grantees, as defined at 28 CFR Part 67; Sections 67.615 and 67.620—

- A. As a condition of the grant, I certify that I will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant; and
- B. If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, I will report the conviction, in writing, within ten calendar days of the conviction, to: Department of Justice, Office of Justice Programs, ATTN: Control Desk, 633 Indiana Avenue, NW, Washington, D.C. 20531

As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the above certifications.

1. Grantee Name and Address:

2. Application Number and/or Project Name

3. Grantee IRS/Vendor Number

4. Typed Name and Title of Authorized Representative:

5. Signature

6. Date

CIVIL RIGHTS REQUIREMENTS

The following civil rights requirements apply to all units of local government and state agencies regardless of grant acceptance, and both for profit and non-profit organizations accepting federal grant funds. Beneath each requirement are one or more references that are provided to assist in understanding and compliance. It should be noted that the compliance requirements apply to the entire jurisdiction/organization, and not just to the funded activities.

1. Victims of Crime Act

reference: <http://www.da.state.nm.us/Victims%20of%20Crime%20Act.pdf>

2. Title IV of the Civil Rights Act of 1964

reference: http://www.congresslink.org/print_basics_histmats_civilrights64text.htm

3. Section 504 of the Rehabilitation Act of 1973

reference: <http://www.dol.gov/oasam/regs/statutes/sec504.htm>

4. Title II of the Americans with Disabilities Act of 1990

References:

- Text - The Americans with Disabilities Act
www.ada.gov/pubs/ada.htm
- Title II Highlights
www.ada.gov/t2hlt95.htm
- The Americans with Disabilities Act, Title II Technical Assistance Manual
www.ada.gov/taman2.html
- Commonly Asked Questions – ADA and Law Enforcement
www.ada.gov/q%26a_law.htm
- Commonly Asked Questions – ADA and Hiring Police Officers
www.ada.gov/copsq7a.htm
- Self Evaluation and Transition Plan Worksheets
<http://adaptenv.org/index.php?option=Resource&articleid=185&topicid=25>

5. Title IX of the Education Amendments of 1972

reference: <http://www.dol.gov/oasam/regs/statutes/titleix.htm>

6. Age Discrimination Act of 1975

reference: http://www.dol.gov/oasam/regs/statutes/age_act.htm

7. USDOJ Non-Discrimination Regulations (28 CFR 42, Subparts C, D, E and G)

reference: http://www.access.gpo.gov/nara/cfr/waisidx_00/28cfr42_00.html

8. USDOJ Regulations on Disability Discrimination (28 CFR Part 35)

references:

- Text – 28 CFR 28 Part 35
http://www.access.gpo.gov/nara/cfr/waisidx_00/28cfr35_00.html

INFORMATION AND ASSISTANCE

The agencies and organizations listed below can provide technical advice and assistance.

U. S. Department of Justice

Office of Civil Rights
Coordination and Review Section
810 – 7th Street NW
Washington, D.C. 20531
Voice: (202) 307-0690
TDD/TTY: (202) 307-2027
www.ojp.usdoj.gov/ocr

Washington Human Rights Commission

711 S Capital Way, Suite 402
PO Box 42490
Olympia, WA 98504-2490
Voice/TDD: (360) 753-6770
Voice: 1-800-233-3247
TTY: 1-800-300-7525
www.hum.wa.gov

Job Accommodation Network (JAN)

1-800-526-7234 (Voice/TTY)
jan@jan.wvu.edu

U. S. Architectural and Transportation

Barriers Compliance Board
1-202-272-0017 (Voice)
1-202-272-0082 (TTY)

Department of Health and Human Services

Office for Civil Rights
<http://www.hhs.gov/ocr/office/>

Equal Employment Opportunity Commission (U. S. Government)

State of Washington Area Office
909 – 1st Avenue, Suite 400
Seattle, WA 98104
Voice/TDD: (206) 220-6882
1-800-669-4000

Department of Personnel

Workforce Diversity Office
PO Box 47500
Olympia, WA 98504-7500
Voice: (360) 664-6228
TTY/TDD: (360) 664-6211

Department of Labor and Industries

Vocational Services
PO Box 44323
Olympia, WA 98504-4323
Voice: (360) 902-5456

Washington Division of Vocational Rehabilitation

Department of Social and Health Services

(38 field offices statewide)
Provides employment services to persons with
disabilities and businesses
Voice/TDD: 1-800-637-5627

Washington Governor's Committee on Disability

Issues and Employment
PO Box 9046
Olympia, WA 98507-9046
Executive Secretary, Toby Olson
Voice: (360) 438-3168
TTY: (360) 438-316

As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the above Civil rights requirements specified on the previous page of this certificate.

SIGNATURE OF WAIVING OFFICIAL

TITLE OF OFFICIAL COMPLETING THE WAIVER

JURISDICTION OF/ORGANIZATION REPRESENTED

DATE

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CONFIDENTIAL FUND CERTIFICATION

This applicant certifies to have read, understood, and agreed to abide by all the conditions for confidential funds as set forth in the Drug Control and System Improvement Formula Grant Program Policy and Procedures Manual published by the Department of Commerce.

Contractor: _____

Address: _____

City, State, Zip: _____

The amount of funding budgeted for confidential funds by the task force for 20__-20__ is as follows:

	FEDERAL GRANT	LOCAL MATCH
Purchase of Services:	\$ _____	\$ _____
Purchase of Information:	\$ _____	\$ _____
Purchase of Evidence:	\$ _____	\$ _____
TOTAL:	\$ _____	\$ _____

This certification applies to both grant and match funds.

Signature: _____ Date: _____

Title: _____

Note 1: If forfeited funds are used, they should be reported under ‘Local Match.’

Note 2: If confidential funds from a grant-related source (grant, match, or forfeiture account) are not budgeted, enter N/A on each line under ‘Federal Grant’ and ‘Local Match.’

Note 3: The Federal and Match column totals should equal those on the application budget form.

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EQUAL EMPLOYMENT OPPORTUNITY PLAN (EEOP) CERTIFICATION

Recipient Name and Address: _____
Grant Program Title: _____ Federal Award Number: _____
Project Title: _____ Sub-award No.: _____
Award Amount: _____ Contact Person Name/Title: _____
Phone Number: _____

Federal regulations require recipients of financial assistance from the Office of Justice Programs (OJP), its component agencies, and the Office of Community Oriented Policing Services (COPS) to prepare, maintain on file, submit to OJP for review, and implement an Equal Employment Opportunity Plan (EEOP) in accordance with 28 CFR Sections 42.301-.308. The regulations exempt some recipients from all of the EEOP requirements. Other recipients, according to the regulations, must prepare, maintain on file and implement an EEOP, but they do not need to submit the EEOP to OJP for review. Recipients that claim a complete exemption from the EEOP requirement must complete Section A below. Recipients that claim the limited exemption from the submission requirement must complete Section B below. A recipient should complete either Section A or Section B, not both. If a recipient receives multiple OJP or COPS grants, please complete a form for each grant, ensuring that any EEOP recipient certifies as completed and on file (if applicable) has been prepared within two years of the latest grant. Please send the completed form(s) to: **Department of Commerce, Public Safety Unit, Attn: Bill Johnston, 1011 Plum Street SE, PO Box 42525, Olympia, WA 98504-2525.**

Section A - Declaration of Claiming Complete Exemption from the EEOP Requirement. Please *check all* boxes *that apply*.

- ☐ Recipient has less than 50 employees
☐ Recipient is an educational institution
than \$25,000
- ☐ Recipient is an Indian Tribe
☐ Recipient is a medical institution
- ☐ Recipient is a non-profit
☐ Recipient's award is less

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

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 50 or more employees and is receiving a single award or sub-award for \$25,000 or more, but less than \$500,000, then the recipient agency does not have to submit an EEOP for review as long as it certifies the following (42 CFR Section 42.305):

I, _____ [responsible official], certify that _____ [recipient], which has 50 or more employees and is receiving a single award or sub-award for \$25,000 or more, but less than \$500,000, has formulated an EEOP in accordance with 28 CFR Section 42.301, *et. seq.*, subpart E. I further certify that the EEOP has been formulated and signed into effect within the past two years by the proper authority and that it is available for review. The EEOP is on file in the office of _____ [organization], at _____ [address], for review by the public and employees or for review or audit by officials of the relevant state planning agency or the Office for Civil Rights, Office of Justice Programs, U.S. Department of Justice, as required by relevant laws and regulations.

Print or type Name and Title Signature Date

OMB Approved No. 1121-0140 Expiration Date: 1/31/08

Equal Employment Opportunity Plan (EEO) Certification

INSTRUCTIONS

Applicability: This form is to be completed by all recipients and sub-recipients receiving less than \$500,000. If receiving \$500,000 direct, recipients are to submit a complete EEO plan to the Department of Commerce (COMMERCE).

Disposition: The direct recipient should keep a copy of the forms for all sub-recipients, and forward one copy of this form for all applicable recipients to COMMERCE for consolidated submission to the Office of Justice Programs.

General Information:

1. Directly below the form's title, following 'Recipients Name and Address,' enter the organization's name and primary mailing address. Do not enter a tribal agency or department.
2. Leave blank the lines following 'Sub-award No.:' and the 'Award Amount.' COMMERCE will make these entries if the applicant is selected for funding.
3. Following 'Contact Person Name/Title:' enter the name of the official responsible for civil rights compliance or personnel actions.
4. Following 'Phone Number:' enter the phone number at which the 'Contact Person' may be contacted.

Section A: Determine if your agency meets one or more of the six criteria. If not, skip to Section B.

*** * Common Error – “Recipient has less than 50 Employees” means the entire jurisdiction/agency * ***

Any official authorized to sign on behalf of the organization may complete this section, although completion by the contact person (listed at the top of the form) or personnel officer is preferred.

5. Preceding '[responsible official]' type the name of the official executing the form.
6. Preceding '[recipient]' type the name of the contracting organization/jurisdiction—not just an agency or department of the organization/jurisdiction.
7. Type or print the name and title of the official executing the certificate.
8. Sign and date the form.

Section B: Complete this section **only if** your agency does not meet any of the six criteria for Section A.

Any official authorized to sign on behalf of the organization may complete this section, though completion by the contact person (listed at the top of the form) or personnel officer is preferred.

9. Preceding '[responsible official]' type the name of the official executing the form.
10. Preceding '[recipient]' type the name of the contracting organization/jurisdiction—not just an agency or department of the organization/jurisdiction.
11. Type or print the name and title of the official executing the certificate.
12. Sign and date the form.

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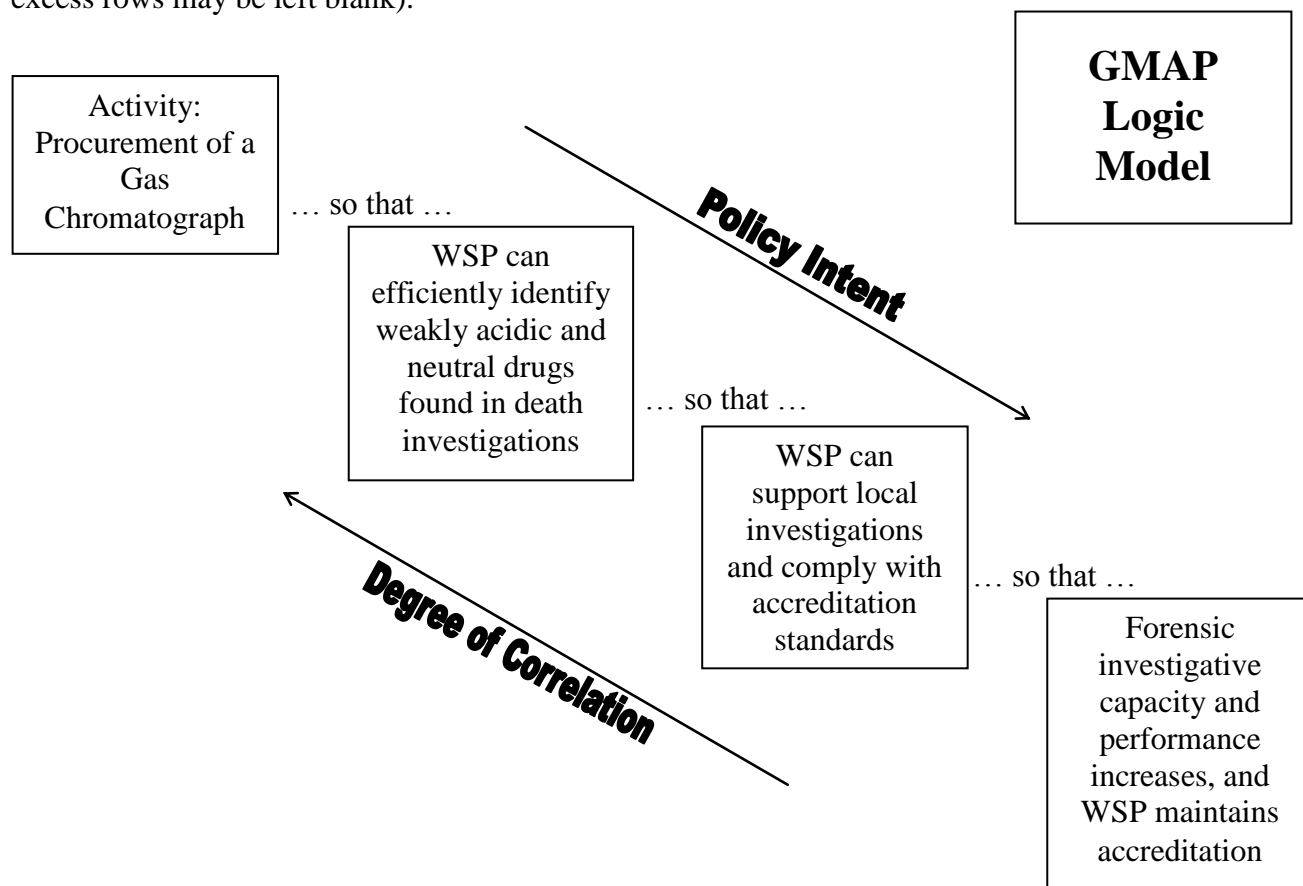
**GMAP LOGIC MODEL
PROJECT OUTCOMES**

One of the greatest difficulties in obtaining or maintaining legislative willingness to provide grant funds is justifying the funds in terms of outcomes. To do this we must be able to say what the program “buys” in bottom-line terms: what is the significance of the changes induced by the expenditure.

This is particularly difficult when a grant supports many different activities, or the activities are removed several steps from the ultimate outcome.

One of the tools used in GMAP (Government Management Accountability and Performance) is a “Logic Model.” This model assists in demonstrating the outcome of project activities while linking the different activities.

Please study the explanation and the example of the logic model on the reverse of this page. Then complete the outline on Page 3 of this form. (Note: many activities will not require the number of intermediate outcomes allowed for in the outline provided. If such is the case, the excess rows may be left blank).



This logic model can also be presented as follows:

<i>ACTIVITY/PROCESS</i>	WSP procures a Gas Chromatograph	<i>PERFORMANCE MEASURES</i>
<i>OUTPUT</i>	Which...analyzes samples	\$ savings per sample tested Time savings per analysis
<i>Immediate OUTCOME</i>	So that...presence of weakly acidic and neutral drugs found in death investigations may be identified/quantified	# of samples analyzed
<i>Intermediate OUTCOME</i>	So that...presence of illicit drugs and poisons is identified as contributing or primary causes of death	% of samples identifying drugs contributing to death
<i>Intermediate OUTCOME</i>	So that...local investigator may determine cause of death and criminal or public health investigation may be initiated (or not)	# of criminal/public health investigations initiated % of cases ... wrongful death
<i>Ultimate OUTCOME</i>	So that...forensic investigation capacity is increased and accreditation requirements are met	% increase in # of analysis Y/N to a mandatory process

Note: this example was developed by non-technical personnel, and is intended only as an illustration ¹

Discussion/Considerations:

While the logic model may be worked from either end—Activity or Ultimate Outcome—both are normally known at the beginning of the process and are entered immediately. To complete the logic chain, it is normally easiest to work from the Activity to the Ultimate Outcome in order to support and demonstrate the value of a given activity.

This particular example has two elements to the ultimate outcome since the undertaken program has two primary goals. Most logic models can be/are boiled down to one “Ultimate Outcome,” which is the primary reason for dedicating public funds to the program, specific activity, or process.

As you work through the model you may find a number of branches or secondary outcomes. Unless they are central to the rationale for the activity, or are independently sufficient to warrant the activity, they should be put aside as distracters for the purpose of presenting the logic model. Those that remain should be quantified in the performance measures column. The number of intermediate outcomes required for any given logic model is dependent upon how directly the activity is related to the “Ultimate Outcome.”

Care should be taken in listing the Performance Measures, since these measures will form the basis of your quarterly report requirement. They must be supported by data that is both relevant and available.

This model is not intended to claim that any specific activity is the cause of the ultimate outcome. It is intended to demonstrate the rationale for the action/process, and to at least partially demonstrate the contribution of the activity to support the ultimate outcomes.

Instructions:

- For each activity identified for your award, as specified in the CONTRACT Attachment A – Statement of Work, complete one of the following Logic Model tables.
- Additional sheets/tables may be attached as needed.
- If the number of rows for Intermediate Outcomes is not required, either delete the row or leave it blank. If additional Intermediate Outcomes are required, insert additional rows.
- Enter at least one performance measure per row in the rightmost column.

PROJECT OUTCOMES - LOGIC MODEL

<i>ACTIVITY/PROCESS</i>		<i>PERFORMANCE MEASURES</i>
<i>OUTPUT</i>	Which...	
<i>Immediate OUTCOME</i>	So that...	
<i>Intermediate OUTCOME</i>	So that...	
<i>Intermediate OUTCOME</i>	So that...	
<i>Ultimate OUTCOME</i>	So that...	

<i>ACTIVITY/PROCESS</i>		<i>PERFORMANCE MEASURES</i>
<i>OUTPUT</i>	Which...	
<i>Immediate OUTCOME</i>	So that...	
<i>Intermediate OUTCOME</i>	So that...	
<i>Intermediate OUTCOME</i>	So that...	
<i>Ultimate OUTCOME</i>	So that...	

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NATIONAL ENVIRONMENTAL POLICY ACT (NEPA)

The following information is required from each Justice Assistance Grant recipient. The Department of Commerce (COMMERCE) will consolidate all the responses of all funded projects and submit it to the U.S. Department of Justice.

Please check the appropriate space to the left of each item below, indicating whether or not the activity described is being undertaken to support or facilitate the Justice Assistance Grant funded activity by the grant recipient or any other party.

(Note¹—The source of funds utilized is irrelevant to your response.)

(Note²—If the activity is being undertaken without regard to the presence or operation of a Justice Assistance Grant funded activity, the item should not be checked.)

Yes
Activity N/A

- | | | |
|-------|-------|---|
| _____ | _____ | 1. New Construction |
| _____ | _____ | 2. Minor renovation or remodeling of a property either: |
| _____ | _____ | a. Listed or eligible for listing on the National Register of Historical Places. |
| _____ | _____ | b. Located within a 100-year flood plain. |
| _____ | _____ | 3. Renovation, lease, or any proposed use of a building or facility that will either: |
| _____ | _____ | a. Result in a change in its basic prior use (between industrial, office, residential, etc.). |
| _____ | _____ | b. Significantly change its size (total structure, not program's portion thereof). |
| _____ | _____ | 4. Implementation of a new program involving the use of chemicals other than: |
| _____ | _____ | a. Chemicals purchased as an incidental component of the funded activity. |
| _____ | _____ | b. Traditionally used (e.g. for office, household, recreational, educational environments). |

Response is made related to the following Justice Assistance Grant funded program/project:

Program: _____

Project: _____

Signature: _____ Date: _____

Typed Name: _____

Representing _____
Jurisdiction/Agency

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POINTS OF CONTACT

Contracting Point of Contact: (Who should the contract be returned to/amendments addressed to?)

Name: _____
Title: _____ Phone #: _____
Org: _____ Fax #: _____
Address: _____ E-mail addr.: _____
City: _____, Washington Zip + 4: _____

Policy Issues Contact: (Contracting agency/oversight board representative with program involvement)

Name: _____
Title: _____ Phone #: _____
Org: _____ Fax #: _____
Address: _____ E-mail addr.: _____
City: _____, Washington Zip + 4: _____

Operations Contact: (Who should be contracted for programmatic concerns, monitoring, etc.?)

Name: _____
Title: _____ Phone #: _____
Org: _____ Fax #: _____
Address: _____ E-mail addr.: _____
City: _____, Washington Zip + 4: _____

Contact for Report Inquiries: (Who fills out the quarterly reports)

Name: _____
Title: _____ Phone #: _____
Org: _____ Fax #: _____
Address: _____ E-mail addr.: _____
City: _____, Washington Zip + 4: _____

Contact for Fiscal Inquiries: (Who fills out the monthly expenditure report/request for reimbursement?)

Name: _____
Title: _____ Phone #: _____
Org: _____ Fax #: _____
Address: _____ E-mail addr.: _____
City: _____, Washington Zip + 4: _____

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STATEMENT OF ASSURANCES

The Applicant:

1. Has sufficient fiscal and management controls to implement and maintain the <Program Title> Program in accordance with this application and BJA requirements. Has sufficient monetary resources to implement and administer the <Program Title> Program operations in accordance with this application.
2. Will not use any grant funds to supplant local funds, but will use such grant funds to increase the amounts of funds that would, in the absence of federal funds, be made available for <Program Title> Program activities. Will provide matching funds required to pay the non-federal portion of the <Program Title> Program expenses for which federal grant funds are made available, which shall be in addition to funds that would otherwise be made available for <Program Title> Program activities.
3. Will provide full cooperation of administrative and program staff, and availability of all records upon request and convenience of staff from the Department of Commerce, Office of the State Auditor, or U.S. Department of Justice, who are charged with monitoring program compliance and the use of funds provided.
4. Will comply with the requirements of the <Federal Grant Award Title> Grant Program as published by the Department of Commerce, and relevant federal agencies, and as embodied in statute.
5. Will comply with Title V of the Anti-Drug Abuse Act of 1988 and regulations promulgated by the federal government to maintain a drug-free workplace.
6. Will comply with Title II of the Americans with Disabilities Act of 1990.
7. Will not undertake any prohibited political activities with these funds including, but not limited to, voter registration; partisan political activity; lobbying congress, the legislature, or any federal or state agency for project of jurisdictionally specific activity; or campaign for any ballot measure. Will comply with the provisions of Title 28, Code of Federal Regulations; Part 61, Procedures for Implementing the National Environmental Policy Act; and Part 63, Floodplain Management and Wetland Protection Procedures.
8. Guarantees that in performing any contract, purchase, or other agreement, the organization shall not discriminate against any employee or applicant for employment because of race, color, religion, age, sex, marital status, national origin, political affiliation or the presence of any sensory, mental, or physical disability. The organization agrees to take affirmative action to ensure that applicants are employed and that employees are treated during employment without discrimination because of their race, color, religion, age, sex, political affiliation, handicap, or national origin. Such action shall include, but not be limited to, employment upgrading, demotion, or transfer; recruitment and recruitment advertising; layoff or termination; rates of pay or other forms of compensation; and training. This guarantee shall implement federal, state, and any local equal opportunity and non-discrimination statutes. The applicant further will, without delay, bring any finding of an equal opportunity or non-discrimination violation to the attention of the Department of Commerce.
9. Will maintain accurate records of law enforcement activities related to the Drug Control and System Improvement Formula Grant Program.

PLEASE NOTE: THE DEPARTMENT'S ACCEPTANCE OF THIS APPLICATION FOR FUNDING IS SUBJECT TO SUBSEQUENT COMPLIANCE REVIEWS THAT MAY REQUIRE CORRECTIVE ACTION BY THE APPLICANT. AUTHORIZED SIGNATURE BY THE APPLICANT GUARANTEES ASSURANCES THAT ARE CONTAINED ON THE APPLICATION FACE SHEET

Authorized Signature for the Applicant:

SIGNATURE

DATE

PRINTED NAME OF SIGNATOR

TITLE

These are the generic, minimum, assurances required for grants funded with Bureau of Justice Assistance funds. Additional clauses may be added due to the specifics of a given grant program or sub-recipients' history/risk assessment.

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APPENDIX P

Special Use Forms

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Project Name: _____

Award Year: [illegible]

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JUSTICE ASSISTANCE GRANT PERFORMANCE METRICS

1	Number of Meth Investigations. How many meth related investigations were conducted? Meth Investigations
2	How many meth related search warrants were issued? Meth related search warrants
3	How many meth related arrests were made?
4	Number of meth labs seized. How many meth labs were seized? How many involved minors? Meth labs seized Number meth labs involving minors (present/exposed)(included in total number of labs seized)
5	How many meth dump sites were discovered?
6	How many meth related sites were mitigated or cleaned up? (for law enforcement, mitigation means initial airing)
7	Amount of meth seized. How much meth was seized in grams? Street value? Grams Street value
8	How much meth precursor was seized in grams? Grams
9	How much meth was purchased in grams? Street value? Grams, if distinguished from seized meth Street value
10	Number of prevention programs. How many prevention programs occurred?
11	How many prevention awareness trainings were provided for law enforcement?
12	How many school resource officers were funded?
13	Number of drug court programs. How many drug courts were funded? Total number of drug court programs, regardless of funding source Number funded
14	How many drug court participants?
15	How many drug court graduates?
16	Number of treatment programs. How many institutional-based treatment programs were funded? Treatment programs (inclusive of institutionally and community based programs) Institutionally based treatment programs
17	How many community-based treatment programs were funded? Institutionally-based treatment programs
18	How many aftercare programs were funded?
19	Number of school based gang education programs. How many programs occurred?
20	How many students participated?
21	How many trainers were trained?

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22	Number of community-based social intervention/gang diversion programs. How many programs were funded?
23	How many participants were enrolled in the programs?
24	How many participants successfully completed the programs and/or remained in the program for a year or more?
25	Number of alternative to incarceration programs. How many programs were funded? Total number programs, regardless of funding source Number funded
26	How many offenders participated?
27	How many offenders successfully completed the programs?
28	Number of gang investigations. How many gang investigations occurred?
29	How many arrests resulted from these investigations?
30	How many successful* prosecutions resulted from these investigations?
31	Number of specialized gang units or officers. How many officers received intensive training on gangs? Number of gang officers Officers receiving intensive training this report period
32	How many officers were solely dedicated to gang interdiction activities?
33	How many specialized gang units/task forces were in operation?
34	Number of gang intelligence systems. How many gang intelligence systems were developed?
35	How many intelligence systems were subscribed to for gang related purposes?
36	How many officers were trained for these systems? Given access to these systems? Number of officers trained Number of officers granted access

***Explanation added:** Successful prosecutions are those resulting in a plea bargain or conviction.

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<Program> Monitoring Visit Report
<Monitored Activity/Organization>
 <Date>

FISCAL SYSTEMS				
Review Item	Y	N	N/A	Observations/Comments
A. Audits				
1. Latest audit report time period & date				
2. Who completed the audit? <input type="checkbox"/> State Auditor or <input type="checkbox"/> Independent CPA				
3. Were there any audit findings relevant to the project?				
4. If findings, have they been resolved?				
5. Were there any recommendations made by the auditor relevant to the project?				
6. The audit was: <input type="checkbox"/> A fiscal audit only <input type="checkbox"/> Included program compliance and performance				
B. Accounting Systems				
7. Have there been significant changes to the accounting system or fiscal controls?				
8. Is there a written operating manual for the accounting system?				
9. Is the system automated?				
10. Is the chart of accounts up-to-date?				
11. Is the grant identifiable in the chart of accounts?				
12. Are contract funds accounted for by revenues, donations, expenditures, indirect, and direct costs?				
13. Are grant/match funds separated from other project funds?				
14. The system adequately identifies receipts and expenditures by: A. Source B. Budget category				
15. Are entries posted from original documents?				
16. Who keeps original receipts?				
17. Entries are posted within how many days of the activity?				

<Program> Monitoring Visit Report
<Monitored Activity/Organization>
<Date>

FISCAL SYSTEMS

Review Item	Y	N	N/A	Observations/Comments
18. Payment is made within how many days of the activity (cash accounting method)?				
19. What are the transaction and reporting cut-off periods?				
20. How long are fiscal records maintained?				
21. Does funding supplant funds which would otherwise be available for the project?				

C. Cash Funds

22. Are grant or match funds used for cash procurement of services?				
23. Subordinate ledger/controls are established?				
24. Does only one individual have direct access to these funds without accessing sealed keys/combination and recording such access in writing?				
25. Issuance of funds is by receipt only?				
26. Expenditure is supported by receipt or 2nd party observation/acknowledgement?				
27. The dollar amount of funds issued for 'use upon demand' is established by policy?				
28. How often does periodic verification and re-issuance of funds to individuals occur?				
29. Does the periodic verification include reconciliation of cash on hand & receipts?				
30. Is an external reconciliation of the cash funds conducted by an independent individual knowledgeable of the controls placed upon cash funds?				
31. How often does this occur and by whom?				

D. Invoices and Supporting Documentation

32. Are invoices submitted on a monthly basis?				
33. On average, how many days after the end of the month are vouchers submitted (based on last ten vouchers)?				
34. Are invoices complete, correct, and signed?				
35. Are expenditures authorized by category?				

<Program> Monitoring Visit Report
<Monitored Activity/Organization>
<Date>

FISCAL SYSTEMS

Review Item	Y	N	N/A	Observations/Comments
36. Review vouchers (check minimum of two submitted within the last 12 months): 1 - Voucher number _____, for \$ _____. Categories checked: _____. 2 - Voucher number _____, for \$ _____. Categories checked: _____.				
37. Expenditure records support the reimbursements claimed?				
38. Timesheets and salary schedules support the reimbursements claimed?				
39. Timesheets and salary schedule checked for __ individuals and __ agencies.				
40. Expenditure records support the match claimed?				

E. Budget Management

41. Are expenditures in line with the monthly expenditure projections?				
42. Cumulative line item transfers are 10 percent or less of the total grant?				
43. Is a contract amendment required?				

F. Internal Controls

44. Are duties and responsibilities separated so that no one employee has sole control over cash receipts, disbursement, and reconciliation of accounts?				
45. Who approves vouchers?				
46. Staff approving vouchers is knowledgeable of authorized costs and expenditure period?				
47. Every individual receiving compensation with federal or match fund prepares timesheets or other approved forms of time and attendance records?				

G. Indirect Costs

48. Are indirect costs charged to the project?				
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<Program> Monitoring Visit Report
<Monitored Activity/Organization>
<Date>

FISCAL SYSTEMS

Review Item	Y	N	N/A	Observations/Comments
49. What is the federal agency authorizing the Indirect Rate?				
50. Authorizing documentation observed?				
51. What is the rate based upon?				
52. What services are included in the indirect charge?				
53. Are indirect charges assessed routinely, in conjunction with the processing of other expenses?				

H. Program Income (generated from forfeitures, fees, etc.)

54. Does the project generate program income?				
55. What percentage of the program income remains dedicated to the project?				
56. Is the percentage remaining with the project at least equal to the percentage of grant funds (grant \$ ÷ [grant \$ + match \$])?				
57. Subject to the same accounting controls as grant and match funds?				
58. Is any program income generated by providing services/equipment for a fee?				

I. Interviewer's Opinion/Miscellaneous

59. Based on the answers to the preceding questions and general observations, does the contractor have reasonable procedures and controls for the administration and accounting of project funds?				
60. Other Fiscal Issues				
61. Technical Assistance Requests				

Staff Interviewed:

<Program> Monitoring Visit Report
<Monitored Activity/Organization>
<Date>

ADMINISTRATIVE SYSTEMS

Review Item		Y	N	N/A	Observations/Comments
A. Subcontracts and Interlocal Agreements					
1.	Who are the subcontractors/other formal participants?				
2.	Do the subcontractors/participants share the grant funds or contribute funds to be counted as match?				
3.	Are there written policies and procedures in place passing federal compliance requirements on to subcontractors/participants?				
4.	How does the contractor ensure that subcontractors/participants are in compliance with requirements?				
B. Property Management					
5.	Did the project purchase property with grant or match funds that is over \$1,000 or "small and attractive" in the last five years?				
6.	Does the project have written procurement procedures?				
7.	How and by whom are purchases made?				
8.	Are the individuals making purchases aware of procurement procedures?				
9.	Are there controls on high dollar and sole source purchases?				
10.	Are the custody, use, and value of the property dedicated to the project?				
11.	Have any losses, damage, or theft of property occurred?				
12.	Is project equipment used to provide services for a fee, competing unfairly with private companies?				
13.	Has any grant-related property been disposed of in the last 12 months?				
14.	Were the proceeds or credit received (if any) returned to the project?				
15.	Has the contractor conducted an inventory within the last 13 months?				

<Program> Monitoring Visit Report
<Monitored Activity/Organization>
<Date>

ADMINISTRATIVE SYSTEMS

Review Item	Y	N	N/A	Observations/Comments
16. Records maintained on property bought with grant or match funds include: <ul style="list-style-type: none"> • Description of the property • Serial or ID# • Supplier of the property • Title holder's name • Acquisition date • Cost of the property • Percentage of federal funds used in the purchase • Location and use of the property • Condition of the property • Ultimate disposition data with disposition method, date, and revenue generated 				

C. Reports

17. Were Program Activity Reports submitted as required?				
18. Did the reports contain the required information?				
19. Spot-checked the following report items from the _____ quarterly report: <ul style="list-style-type: none"> • Percentage of successful prosecutions. • Percentage of multiple arrests. 				
20. Do public reports and publications include a clause crediting federal funding?				

D. Federally-Mandated Activities: Time and Attendance Records

21. Are time and attendance records maintained for all individuals funded by grant or match funds?				
22. Does the Contractor verify whether subcontractors/formal participants require time and attendance records for each employee?				
23. Does the Contractor verify whether reimbursed funds correlate with time and attendance records and other authorized/documented expenditures?				

E. Federally-Mandated Activities: Equal Opportunity Program

24. Does the agency have an Equal Opportunity program in place?				
25. Who administers the Equal Opportunity Program?				

<Program> Monitoring Visit Report
<Monitored Activity/Organization>
<Date>

ADMINISTRATIVE SYSTEMS

Review Item	Y	N	N/A	Observations/Comments
26. Has the program been certified or accredited? If so, by whom?				
27. Has the contractor, or its subcontractors/formal participants, had any formal findings or rulings against it or its key officers regarding Equal Opportunity?				
28. Was COMMERCE promptly notified of any finding?				
29. Has corrective action, as negotiated or directed, been implemented?				

F. Federally-Mandated Activities: Drug-Free Workplace

30. Does the agency have a Drug-Free Workplace policy in place?				
31. Who administers the Drug-Free Workplace Program?				
32. Do the provisions include: <ul style="list-style-type: none"> • Counseling? • Rehabilitation? • Employee Assistance? 				
33. Do violations result in: <ul style="list-style-type: none"> • Termination? • Penalties? • Rehabilitation? 				
34. Has any employee of the contractor, or its subcontractors/formal participants, been convicted of a criminal drug offense on the job or premises?				
35. Was COMMERCE notified promptly (within 5 days; BJA within 10 days of the conviction)?				
36. Was appropriate personnel action taken within 30 days?				

G. Federally-Mandated Activities: Conflict of Interest

37. In relation to the grant, has any allegation or finding of "Conflict of Interest" been made against any employee or official of the contractor, or of its subcontractors/formal participants?				
38. Describe the allegation or finding.				

H. DUNS Number Registration in the CCR System

39. Is the contractor's CCR Registration valid? (DUNS# used and Expiration Date)				
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<Program> Monitoring Visit Report
<Monitored Activity/Organization>
<Date>

ADMINISTRATIVE SYSTEMS

Review Item	Y	N	N/A	Observations/Comments
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I. Documents and Resources

40.	Are the following documents reasonably available?				
	<ul style="list-style-type: none"> • Interlocal Agreement or Subcontract • COMMERCE Criminal Justice Grant Policy and Procedures Manual • OMB Circular A-73 (Revised), Audit of Federal Operations and Programs • OMB Circular A-87, Cost Principles for State and Local Governments • Common Rule, Uniform Administrative Requirements for Grant and Cooperative Agreements to State and Local Governments, 28 CFR Part 66 (Grant Common Rule for State and Local Government) • Common Rule, Government-Wide Debarment and Suspension (Non-Procurement) and Government-Wide Requirement for Drug-Free Workplace, 28 CFR Part 67 • Common Rule, Government-Wide Guidance for New Restrictions on Lobbying • 28 CFR Part 23 – Criminal Intelligence System Operating Policies 				

J. Miscellaneous

41.	Based on the answers to the proceeding questions and general observations, does the contractor have functional and appropriate administrative processes?				
42.	Other Administrative Issues				
43.	Technical Assistance Requests				

Staff Interviewed:

<Program> Monitoring Visit Report
<Monitored Activity/Organization>
<Date>

OPERATIONS

Review Item	Y	N	N/A	Observations/Comments
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A. Trends

1.	What are the shifts you've seen in drug use/trafficking over the last year or two?				
----	--	--	--	--	--

B. Mission, Goals, and Objectives

2.	What role, if any, does the operational staff (supervisor included) have in setting objectives?				
3.	Do goals and objectives collectively form/support an outcome-based work plan?				
4.	How does the project pursue its objectives, select priorities, targets, etc.?				
5.	Has a change in situation or knowledge caused a change in the announced objectives or implementation scheme?				
6.	Is the program on track with its work plan and objectives? Nature of problems encountered?				

C. Local Assistance

7.	How does the assistance offered to local agencies work (scheduling, integration, disruption, etc.)? If training, describe the program, number of officers at a time, frequency, etc.?				
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D. Evaluation

8.	How do you assess yourselves?				
9.	Who does the reporting?				
10.	Who reviews the reports?				
11.	Current Status				

E. Miscellaneous

12.	Innovative practices				
13.	Problems encountered/lessons learned				

Staff Interviewed:

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Task Force Monitoring Visit Report
<Monitored Activity/Organization>
<Date>

FISCAL SYSTEMS				
Review Item	Y	N	N/A	Observations/Comments
A. Audits				
1. Latest audit report time period and date.				
2. Who completed the audit? <input type="checkbox"/> State Auditor or <input type="checkbox"/> Independent CPA				
3. Were there any audit findings relevant to the project?				
4. If findings, have they been resolved?				
5. Were there any recommendations made by the auditor relevant to the project?				
6. The audit was: <input type="checkbox"/> A fiscal audit only <input type="checkbox"/> Included program compliance & performance				
B. Accounting Systems				
7. Have there been significant changes to the accounting system or fiscal controls?				
8. Is there a written operating manual for the accounting system?				
9. Is the system automated?				
10. Is the chart of accounts up-to-date?				
11. Is the grant identifiable in the chart of accounts?				
12. Are contract funds accounted for by revenues, donations, expenditures, indirect, and direct costs?				
13. Are grant/match funds separated from other project funds?				
14. The system adequately identifies receipts and expenditures by: A. Source B. Budget category				
15. Are entries posted from original documents?				
16. Who keeps original receipts?				
17. Entries are posted within how many days of the activity?				
18. Payment is made within how many days of the activity (cash accounting method)?				
19. What are the transaction and reporting cut-off periods?				

Task Force Monitoring Visit Report
<Monitored Activity/Organization>
<Date>

FISCAL SYSTEMS

Review Item	Y	N	N/A	Observations/Comments
20. How long are fiscal records maintained?				
21. Does funding supplant funds which would otherwise be available for the project?				

C. Cash Funds

22. Are grant or match funds used for cash procurement of services?				
23. Subordinate ledger/controls are established?				
24. Does only one individual have direct access to these funds without accessing sealed keys/combination and recording such access in writing?				
25. Issuance of funds is by receipt only?				
26. Expenditure is supported by receipt or 2nd party observation/acknowledgement?				
27. The dollar amount of funds issued for 'use upon demand' is established by policy?				
28. How often does periodic verification and re-issuance of funds to individuals occur?				
29. Does the periodic verification include reconciliation of cash on hand and receipts?				
30. Is an external reconciliation of the cash funds conducted by an independent individual knowledgeable of the controls placed upon cash funds?				
31. How often does this occur and by whom?				

D. Invoices and Supporting Documentation

32. Are invoices submitted on a monthly basis?				
33. On average, how many days after the end of the month are vouchers submitted (based on last ten vouchers)?				
34. Are invoices complete, correct, and signed?				
35. Are expenditures authorized by category?				

Task Force Monitoring Visit Report
<Monitored Activity/Organization>
<Date>

FISCAL SYSTEMS

Review Item	Y	N	N/A	Observations/Comments
36. Review vouchers (check minimum of two submitted within the last 12 months): 1 - Voucher number _____, for \$ _____. Categories checked: _____. 2 - Voucher number _____, for \$ _____. Categories checked: _____.				
37. Expenditure records support the reimbursements claimed?				
38. Timesheets and salary schedules support the reimbursements claimed?				
39. Timesheets and salary schedule checked for ___ individuals and ___ agencies.				
40. Expenditure records support the match claimed?				

E. Budget Management

41. Are expenditures in line with the monthly expenditure projections?				
42. Cumulative line item transfers are 10 percent or less of the total grant?				
43. Is a contract amendment required?				

F. Internal Controls

44. Are duties and responsibilities separated so that no one employee has sole control over cash receipts, disbursement, and reconciliation of accounts?				
45. Who approves vouchers?				
46. Staff approving vouchers is knowledgeable of authorized costs and expenditure period?				
47. Every individual receiving compensation with federal or match fund prepares timesheets or other approved forms of time and attendance records?				

G. Indirect Costs

48. Are indirect costs charged to the project?				
49. What is the federal agency authorizing the Indirect Rate?				
50. Authorizing documentation observed?				

Task Force Monitoring Visit Report
<Monitored Activity/Organization>
<Date>

FISCAL SYSTEMS

Review Item	Y	N	N/A	Observations/Comments
51. What is the rate based upon?				
52. What services are included in the indirect charge?				
53. Are indirect charges assessed routinely, in conjunction with the processing of other expenses?				

H. Program Income (generated from forfeitures, fees, etc.)

54. Does the project generate program income?				
55. What percentage of the program income remains dedicated to the project?				
56. Is the percentage remaining with the project at least equal to the percentage of grant funds (grant \$ ÷ [grant \$ + match \$])?				
57. Subject to the same accounting controls as grant and match funds?				
58. Is any program income generated by providing services/equipment for a fee?				
59. Under the 'Use It or Lose It Rule' is any of the federal portion at risk?				

I. Interviewer's Opinion/Miscellaneous

60. Based on the answers to the preceding questions and general observations, does the contractor have reasonable procedures and controls for the administration and accounting of project funds?				
61. Other Fiscal Issues				
62. Technical Assistance Requests				

Staff Interviewed:

Task Force Monitoring Visit Report
<Monitored Activity/Organization>
<Date>

ADMINISTRATIVE SYSTEMS

Review Item		Y	N	N/A	Observations/Comments
A. Subcontracts and Interlocal Agreements					
1.	Who are the subcontractors/other formal participants?				
2.	Do the subcontractors/participants share the grant funds or contribute funds to be counted as match?				
3.	Are there written policies and procedures in place passing federal compliance requirements on to subcontractors/participants?				
4.	How does the contractor ensure that subcontractors/participants are in compliance with requirements?				
B. Property Management					
5.	Did the task force purchase property with grant or match funds that is over \$1,000 or "small and attractive" in the last five years?				
6.	Does the project have written procurement procedures?				
7.	How and by whom are purchases made?				
8.	Are the individuals making purchases aware of procurement procedures?				
9.	Are there controls on high dollar and sole source purchases?				
10.	Are the custody, use, and value of the property dedicated to the project?				
11.	Have any losses, damage, or theft of property occurred?				
12.	Is project equipment used to provide services for a fee, competing unfairly with private companies?				
13.	Has any grant-related property been disposed of in the last 12 months?				
14.	Were the proceeds or credit received (if any) returned to the project?				
15.	Has the contractor conducted an inventory within the last 13 months?				

Task Force Monitoring Visit Report
<Monitored Activity/Organization>
<Date>

ADMINISTRATIVE SYSTEMS

Review Item	Y	N	N/A	Observations/Comments
16. Records maintained on property bought with grant or match funds include: <ul style="list-style-type: none"> • Description of the property • Serial or ID# • Supplier of the property • Title holder's name • Acquisition date • Cost of the property • Percentage of federal funds used in the purchase • Location and use of the property • Condition of the property • Ultimate disposition data with disposition method, date, and revenue generated 				

C. Reports

17. Were Program Activity Reports submitted as required?				
18. Did the reports contain the required information?				
19. Spot-checked the following report items from _____ quarterly report: <ul style="list-style-type: none"> • Percentage of successful prosecutions. • Percentage of multiple arrests. 				
20. Do public reports and publications include a clause crediting federal funding?				

D. Federally-Mandated Activities: Time and Attendance Records

21. Are time and attendance records maintained for all individuals funded by grant or match funds?				
22. Does the Contractor verify whether subcontractors/formal participants require time and attendance records for each employee?				
23. Does the Contractor verify whether reimbursed funds correlate with time and attendance records and other authorized/documented expenditures?				

E. DUNS Number Registration in the CCR System

24. Is the contractor's CCR Registration valid? DUNS# used and Expiration Date				
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Task Force Monitoring Visit Report
<Monitored Activity/Organization>
<Date>

ADMINISTRATIVE SYSTEMS

Review Item		Y	N	N/A	Observations/Comments
F. Federally-Mandated Activities: Equal Opportunity Program					
25.	Does the agency have an Equal Opportunity program in place?				
26.	Who administers the Equal Opportunity Program?				
27.	Has the program been certified or accredited? If so, by whom?				
28.	Has the contractor—or its subcontractors/formal participants—had any formal findings or rulings against it or its key officers regarding Equal Opportunity?				
29.	Was COMMERCE promptly notified of any finding?				
30.	Has corrective action, as negotiated or directed, been implemented?				
G. Federally-Mandated Activities: Drug-Free Workplace					
31.	Does the agency have a Drug-Free Workplace policy in place?				
32.	Who administers the Drug-Free Workplace Program?				
33.	Do the provisions include: <ul style="list-style-type: none"> • Counseling? • Rehabilitation? • Employee Assistance? 				
34.	Do violations result in: <ul style="list-style-type: none"> • Termination? • Penalties? • Rehabilitation? 				
35.	Has any employee of the contractor, or its subcontractors/formal participants, been convicted of a criminal drug offense on the job or premises?				
36.	Was COMMERCE notified promptly (within 5 days; BJA within 10 days of the conviction)?				
37.	Was appropriate personnel action taken within 30 days?				

Task Force Monitoring Visit Report
<Monitored Activity/Organization>
<Date>

ADMINISTRATIVE SYSTEMS

Review Item	Y	N	N/A	Observations/Comments
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H. Federally-Mandated Activities: Conflict of Interest

38.	In relation to the grant, has any allegation or finding of Conflict of Interest been made against any employee or official of the contractor, or its subcontractors/formal participants?				
39.	Describe the allegation or finding				

I. Documents and Resources

40.	Are the following documents reasonably available? <ul style="list-style-type: none"> • Interlocal Agreement or Subcontract • COMMERCE Criminal Justice Grant Policy and Procedures Manual • OMB Circular A-73 (Revised), Audit of Federal Operations and Programs • OMB Circular A-87, Cost Principles for State and Local Governments • Common Rule, Uniform Administrative Requirements for Grant and Cooperative Agreements to State and Local Governments, 28 CFR Part 66 (Grant Common Rule for State and Local Government) • Common Rule, Government-Wide Debarment and Suspension (Non-Procurement) and Government-Wide Requirement for Drug-Free Workplace, 28 CFR Part 67 • Common Rule, Government-Wide Guidance for New Restrictions on Lobbying • 28 CFR Part 23 – Criminal Intelligence System Operating Policies 				
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J. Miscellaneous

41.	Based on the answers to the proceeding questions and general observations, does the contractor have functional and appropriate administrative processes?				
42.	Other Administrative Issues				
43.	Technical Assistance Requests				

Staff Interviewed:

Task Force Monitoring Visit Report
<Monitored Activity/Organization>
<Date>

OPERATIONS				
Review Item	Y	N	N/A	Observations/Comments
A. Trends				
1. What are the shifts you've seen in drug use/trafficking/gang activity over the last year or two?				
B. Mission, Goals, and Objectives				
2. What role, if any, does the operational staff, supervisor included, have in setting objectives?				
3. Do goals and objectives collectively form/support an outcome-based work plan?				
4. How does the task force pursue its objectives, select priorities, targets, etc.?				
5. Has a change in situation or knowledge caused a change in the announced objectives or implementation scheme?				
6. Is the program on track with its work plan and objectives? Nature of problems encountered?				
C. Local Assistance				
7. How does the assistance offered to local agencies work (scheduling, integration, disruption, etc.)? If training, describe the program, number of officers at a time, frequency, etc.?				
D. Investigative Personnel				
8. Impact of personnel rotation, agency withdrawals, limited overtime, etc.?				
9. How does the task force address or mitigate the shortage of personnel?				
E. Organization Structure				
10. Commissioned Officers—4 or more assigned full time to the task force?				
11. Support Staff—at least 0.5 FTE admin personnel assigned to the task force?				
12. Prosecutor—at least 0.5 FTE prosecutor assigned to the task force?				
13. Gang Liaison—an individual performing this function is assigned to the task force?				
14. Analyst—is a trained analyst assigned to support the task force?				

Task Force Monitoring Visit Report
<Monitored Activity/Organization>
<Date>

OPERATIONS

Review Item	Y	N	N/A	Observations/Comments
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F. Prosecution Support

15.	Type of services offered and operational impact: <input type="checkbox"/> Investigative participation <input type="checkbox"/> Dedicated 100% <input type="checkbox"/> Early problem spotting <input type="checkbox"/> First call <input type="checkbox"/> Body wires <input type="checkbox"/> Informant negotiations <input type="checkbox"/> Warrants <input type="checkbox"/> Prosecution <input type="checkbox"/> Disposition feedback <input type="checkbox"/> Case feedback <input type="checkbox"/> Forfeiture support				
16.	Location of Prosecutor				

G. Administrative Support

17.	Roles, limitations, impact, solutions, innovations?				
-----	---	--	--	--	--

H. Evaluation

18.	How do you assess yourselves?				
19.	Who does the reporting?				
20.	Who reviews the reports?				
21.	Current Status				

I. Confidential Funds

22.	Who is signed for the cash fund?				
23.	Who has access to the cash fund beyond the individual signed for it?				
24.	Type of access?				
25.	Issued as: <input type="checkbox"/> Expenses (walk-around funds) Standard amount: _____ <input type="checkbox"/> Individual buy/investigation				
26.	Is there a 2nd or 3rd party review of cash funds and receipts? If so, how often?				

Task Force Monitoring Visit Report
<Monitored Activity/Organization>
<Date>

OPERATIONS

Review Item	Y	N	N/A	Observations/Comments
27. How much is allowed to walk?				
28. Summary report made to whom?				
29. Unexpended funds are logged in and included in the summary report?				
30. How are funds recovered during arrests accounted for?				
31. Is there a periodic cross-review of the confidential fund log, the referenced case files, informant files, and evidence records made? If so, how often?				
32. Was a cross-review of the confidential fund log, the referenced case files, informant files, and evidence records made during the monitoring visit? If so, by whom, summarize the observations/comments of the reviewer				

J. Miscellaneous

33. Innovative practices				
34. Problems encountered/lessons learned				

Staff Interviewed:

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TASK FORCE PEER REVIEW QUESTIONNAIRE

Task Force:

Your Name:

Your Position:

Please answer the following questions regarding your multi-jurisdictional gang/drug task force. Provide examples, if appropriate. If you do not know the answer to a particular question, insert “UNK.” If you believe the question does not apply to your task force, insert “DNA.”

- 1. Is there a current interagency agreement signed by all participants?**
- 2. Do all participants adhere to the provisions of the agreement?**
- 3. Is the agreement consistent with those of other Justice Assistance Grant (JAG) funded task forces?**
- 4. Is there a strong statement of commitment to working together cooperatively, setting aside turf issues?**
- 5. Is there a strong commitment to supporting the state and federal strategies?**
- 6. How often does the Executive Board meet?**
- 7. How does the board communicate leadership, direction, and support to the task force?**
- 8. How does the board coordinate with external officials and other agencies?**
- 9. Is the prosecutor a voting member of the Executive Board?**
- 10. Is the prosecutor full-time and co-located or readily available?**
- 11. Does the prosecutor participate in the case development process on a regular basis?**
- 12. How does the prosecutor improve the task force ability to process cases and evidence?**
- 13. What are the performance standards for the prosecutor?**
- 14. How cooperatively does the criminal justice system work with the task force?**

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15. To what databases does the task force have direct and immediate access?
16. Does the task force maintain its own records system? Intelligence system?
17. Does the task force comply with 28 CFR, Part 23?
18. How are cases and/or critical events de-conflicted?
19. Does the task force make use of available technical resources?
20. Is a formal threat assessment developed periodically?
21. Do policy makers review it?
22. Are investigative priorities established based upon the threat assessment?
23. Is it shared with stakeholders?
24. Does case-planning incorporate use of appropriate investigative techniques and tactics?
25. Does the task force function as a team?
26. Are investigations coordinated with other agencies and task forces, as appropriate?
27. Is there regular communication between task force personnel and participating agencies?
28. Does the task force meet with other units within participating agencies?
29. What is the level of support by other units within participating agencies?
30. Are there regular task force meetings?
31. Are cases being referred from/to other agencies or task forces?
32. Are there regular meetings with neighboring task forces; or with federal, state, and local agencies operating within the task force area?
33. Are cases being de-conflicted early on in their development with HIDTA or WSIN?

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34. Is the task force conducting cooperative investigations with others when appropriate?
35. Has the task force institutionalized itself within the community by leveraging JAG resources?
36. Does the task force strive to adhere to federal funding contract requirements?
37. How has the task force demonstrated a commitment to training and advanced technology?
38. Has the task force established specific things to be accomplished that address the drug threat assessment?
39. Are goals measurable, observable, and realistic?
40. Has the task force attained previously stated goals and objectives? If not, why not?
41. Does the task force adequately document its efforts, and submit timely and accurate reports in compliance with grant contracts?
42. Do the executive board and task force manager have processes in place whereby efforts are continually monitored and evaluated to ensure that goals, targets, procedures, etc. are revised as needed?
43. Is there a standardized process in place to ensure the selection of qualified personnel for assignment to multi-jurisdictional task forces?
44. Do participating agencies recognize and adjust to changing personnel needs, ensuring an adequate number of seasoned personnel?
45. Are staffing, conduct, and performance issues regularly and freely discussed by the executive board?
46. Is asset seizure used effectively as a tool to dismantle or disrupt drug trafficking organizations?
47. Does the task force use financial investigative resources or technical support when appropriate?
48. Are best practices utilized in the handling, storage, and disposal of seized property?
49. Are defendants afforded an impartial appeal process?

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- 50. Does the executive board ensure that forfeitures are used to enhance the financial viability of the task force?
- 51. Is there executive commitment to making task force training a priority as reflected in budgeting, policy, or other directives?
- 52. How often does the task force train as a unit?
- 53. Do task force personnel provide training to others when appropriate?

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**GENERIC NON-TASK FORCE PROGRAM
PERIODIC ACTIVITY REPORT**

1	<Grant Recipient> <Contract Number> <Grant Source>		Performance Activity Reporting July 2010 - June 2011					
2								
3								
Project Staffing			Q1 Jul-Sep	Q2 Oct-Dec	Q3 Jan-Mar	Q4 Apr-Jun	Year to Date	
4	Staffing # Personnel w / Same Principal Focus as the Supported Project Full FTE Based Upon ___ Hrs/Yr 2080	Personnel Type ¹						} Personnel Types & Related FTEs are Mutual Exclusive
5		Total FTEs (Pers'l Type ¹)						
6		Personnel Type ²						
7		Total FTEs (Pers'l Type ²)						
8		Personnel Type ³						
9		Total FTEs (Pers'l Type ³)						
10		Personnel Type ⁴						
11		Total FTEs (Pers'l Type ⁴)						
12		Total						
13	<Grant Source> Supported Personnel (Enter FTE/Qtr)	Personnel Type1						} Mutual Exclusive
14		Personnel Type2						
15		Personnel Type3						
16		Personnel Type4						
17		Total						
18	Overtime	Total # OverTime Hours						
19		JAG Supported Overtime Hours						
20	Contractual Support	Hours of Support Provided						
21		Type Personnel Providing Support						

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Equipment		Q1 Jul-Sep	Q2 Oct-Dec	Q3 Jan-Mar	Q4 Apr-Jun	Year to Date
22	Equipment (Yes/No & Cost)	Equipment Bought w/ Grant \$ (Yes/No)				
23		Equip Cost Charged to Grant				
24	Equipment (# of units bought) (or 'X' un-quantified categories e.g. canine supplies)	Court Supplies				
25		Intervention Supplies				
26		Office Supplies				
27		Computers				
28		Computers Veh'l Mounted				
29		Computer Software				
30		Firearms				
31		Non-Lethal Force Weapons				
32		Radar / Equivilent				
33		Vehicles				
34		Canine / Supplies				
35		Other ¹ Enter Type				
36		Other ¹ Enter Qty				
37		Other ² Enter Type				
38		Other ² Enter Qty				
39	Impact	# Personnel Using Equipment				
40		# Users Reporting Desired Quality Change				

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Direct Services		Q1 Jul-Sep	Q2 Oct-Dec	Q3 Jan-Mar	Q4 Apr-Jun	Year to Date
41	Direct Services (Yes/No & Cost)	Services Provided w/ Grant \$ (Yes/No)				
42		Service Delivery Cost this Qtr Charged to Grant				
43	New Service this Quarter	New Service System this Quarter				
44		# Man-Hours/Qtr Required Pre-Grant				
45		# Man-Hours/Qtr Required w/ Grant				
46		Total Service Cost/Qtr pre-Grant				
47	Individuals Served	# Continuing At Risk of Greater Gang Involvement				
48		# New At Risk of Greater Gang Involvement				
49		# Continuing Incarcerated Gang Members				
50		# New Incarcerated Gang Members				
51		# Continuing Gang Members ReEntering				
52		# New Gang Members ReEntering				
53		# Continuing Non-Violent Needing Substance				
54		# New Non-Violent Needing Substance				
55		Specify Other Target Group Type ¹				
56		# Continuing Individuals Target Group ¹				
57		# new Individuals Target Group ¹				
58		Specify Other Target Group Type ²				
59		# Continuing Individuals Target Group ²				
60		# new Individuals Target Group ²				
61	Program Base	School Based Program				
62		Community Based Program				
63		Institution Based Program				
64						

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Participating - Partnering SubAwarded Agencies		Q1 Jul-Sep	Q2 Oct-Dec	Q3 Jan-Mar	Q4 Apr-Jun	Year to Date
96	Sub-Awards	# Agencies Receiving Grant Funds				
97	Agency ¹	Agency ¹ Name				
98		Agency ¹ DUNS				
99		Agency ¹ ZIP+4				
100		Agency ¹ Function				
101		Agency ¹ Paid to Date				
102	Agency ²	Agency ² Name				
103		Agency ² DUNS				
104		Agency ² ZIP+4				
105		Agency ² Function				
106		Agency ² Paid to Date				
107	Agency ³	Agency ³ Name				
108		Agency ³ DUNS				
109		Agency ³ ZIP+4				
110		Agency ³ Function				
111		Agency ³ Paid to Date				

Continued on Next Page

Direct Services - Cont'f		Q1 Jul-Sep	Q2 Oct-Dec	Q3 Jan-Mar	Q4 Apr-Jun	Year to Date
65	Total Enrollment this Qtr					
66	# Trainers Trained					
67	Aftercare Component (Y/N)					
68	Aftercare (# Participants)					
69	# Displaying Desired Behavior					
70	# Graduates Offense Free 6Mo after Completion					
71	# Graduates Offense Free 1Yr after Completion					
72	Slots @ Start of Qtr					
73	Slots Added this Qtr					
74	Slots Lost this Qtr					
75	Slots @ End of Qtr					

Training		Q1 Jul-Sep	Q2 Oct-Dec	Q3 Jan-Mar	Q4 Apr-Jun	Year to Date
76	Direct Services (Yes/No & Cost)	Training Supported w/ Grant \$ (Yes/No)				
77		Training Cost this Qtr Charged to Grant				
78	Requests	# Training Requests Received				
79	Types of Training	# Training Calls Planned				
80		# Training Calls Conducted				
81		# Training Conf's Planned				
82		\$ Training Conf's Conducted				
83		# Training Conf's Attended				
84		# Training Manuals Produced				
85	Groups Needing / Receiving Training	# Needing Training				
86		# Completing Training				
87		# Reporting Training Useful				
88		# Reporting Skill Increase				
89	Individuals Needing / Receiving Training	# Needing Training				
90		# Program Staff Trained				
91		# Professional Staff Trained				
92		# Criminal Justice Staff Trained				
93		# Community Members Trained				
94		# Intervention Recipients Trained				
95		# Reporting Skill Increase				

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Participating - Partnering SubAwarded Agencies		Q1 Jul-Sep	Q2 Oct-Dec	Q3 Jan-Mar	Q4 Apr-Jun	Year to Date
96	Sub-Awards	# Agencies Receiving Grant Funds				
97	Agency ¹	Agency ¹ Name				
98		Agency ¹ DUNS				
99		Agency ¹ ZIP +4				
100		Agency ¹ Function				
101		Agency ¹ Paid to Date				
102	Agency ²	Agency ² Name				
103		Agency ² DUNS				
104		Agency ² ZIP +4				
105		Agency ² Function				
106		Agency ² Paid to Date				
107	Agency ³	Agency ³ Name				
108		Agency ³ DUNS				
109		Agency ³ ZIP +4				
110		Agency ³ Function				
111		Agency ³ Paid to Date				

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**MULTI-JURISDICTIONAL TASK FORCES
PERIODIC ACTIVITY REPORT**

1	<Project Title>		Performance Activity Reporting July 2010 - June 2011				
2	<Contract #>						
3	<Grant Source>						
Task Force Staffing			Q1 Jul-Sep	Q2 Oct-Dec	Q3 Jan-Mar	Q4 Apr-Jun	Year to Date
4	Participating Agencies	# Local					
5		State-WSP					
6		State-Other					
7		Federal					
8		Other					
9	Staffing All Assigned/ Dedicated Personnel Supporting the Project	Coordr / Cmdr					
10		Supervisors					
11		Investigators					
12		Analysts					
13		Gang Liaison					
14		Probation/Parole					
15		Support Personnel					
16	Full FTE Based	Prosecutors					
17	Upon ___ Hrs/Yr	Total					
18	2080	Meets/Exceeds Model					
19	<Grant Source> Supported Personnel	Coordr / Cmdr					
20		Supervisors					
21		Investigators					
22		Analysts					
23		Gang Liaison					
24		Probation/Parole					
25		Support Personnel					
25		Prosecutors					
26	Overtime	Total # OverTime Hours					
27		JAG Supported Overtime Hours					
28	Overall	Meets/Exceeds Model					

Investigations			Q1 Jul-Sep	Q2 Oct-Dec	Q3 Jan-Mar	Q4 Apr-Jun	Year to Date
29	Open/Closed	Cont'd into this Report Period					
30		Opened During this Report Period					
31		# Closed No Arrests					
32		# Closed 1 Arrests					
33		# Closed Multiple Arrests					
34		Open at End of this Report Period					
35		Multi-Arrest Case Percentage					

Mutual Exclusive

Mutual Exclusive

Std=40%

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Small Groups Dismantled/Disrupted		Q1 Jul-Sep	Q2 Oct-Dec	Q3 Jan-Mar	Q4 Apr-Jun	Year to Date	
36	Cooperative Investigations (3-4 Mbr Org's)	w/ Other JAG NTFs					
37		w/ Federal Agencies					
38		w/ Other Agencies/Units					
39	Primary Nexus (3-4 Mbr Org's)	Gang					Mutually Exclusive
40		Gang & Drug					
41		Drug					
42		Other					
43	Other Characteristics (3-4 Mbr Org's)	Violence					Not Mutually Exclusive
44		ID Theft					
45		Gun Trafficking					
46		Human Trafficking					
47		Money Laundering					
48		Auto theft					
49		OCEDEF					

Organizations Dismantled/Disrupted		Q1 Jul-Sep	Q2 Oct-Dec	Q3 Jan-Mar	Q4 Apr-Jun	Year to Date	
50	Cooperative Investigations (5+ Mbr Org's)	w/ Other JAG NTFs					
51		w/ Federal Agencies					
52		w/ Other Agencies/Units					
53	Primary Nexus (5+ Mbr Org's)	Gang					Mutually Exclusive
54		Gang & Drug					
55		Drug					
56		Other					
57		Percent of Effort Directed on Gangs					Tgt= 40%
58	Other Characteristics (5+ Mbr Org's)	Violence					Not Mutually Exclusive
59		ID Theft					
60		Gun Trafficking					
61		Human Trafficking					
62		Money Laundering					
63		Auto theft					
64		OCEDEF					
65	Organizational Case Support	w/ Analytical Support					
66		# Case-Subj Deconfliction					
67		# Event Deconfliction					
68	Warrants - State	Gang Nexus					Mutually Exclusive
69		Gang & Drug Nexus					
70		Drug Nexus					
71		Other Investigations					
72		Meth Nexus					
73	Warrants - Federal	Gang Nexus					Mutually Exclusive
74		Gang & Drug Nexus					
75		Drug Nexus					
76		Other Investigations					
77		Meth Nexus					

Meth Investigations		Q1 Jul-Sep	Q2 Oct-Dec	Q3 Jan-Mar	Q4 Apr-Jun	Year to Date	
78	Meth Investigations	SingleSuspect Investigations					Included in Data Above
79		2-4 Suspect Investigations					
80		5+Suspect Investigations					
81		Total # Meth Investigations					
82		# Labs Investigated					Linked to Data Above
83		# Labs Dismantled					
84		# Lab Sites Processed					
85		# Labs w/Juveniles Present/Exposed					
86		# Suspect Precursor Sellers ID'd					
87		# Suspect Precursor Buyers ID'd					
88		State Warrants					
89		Federal Warrants					

ARRESTS		Q1 Jul-Sep	Q2 Oct-Dec	Q3 Jan-Mar	Q4 Apr-Jun	Year to Date
90	Felony Primary Nexus	Gang Nexus				
91		Gang & Drug Nexus				
92		Drug Nexus				
93		Other Investigations				
94	Felony 2ndry Nexus	Meth				
95		Violence				
96		ID Theft				
97		Gun Trafficking				
98		Human Trafficking				
99		Money Laundering				
100		Auto Theft				
101	Misdemeanor Primary Nexus	Gang Nexus				
102		Gang & Drug Nexus				
103		Drug Nexus				
104		Other Investigations				
105	Misdemeanor 2ndry Nexus	Meth				
106		Violence				
107		ID Theft				
108		Gun Trafficking				
109		Human Trafficking				
110		Money Laundering				
111		Auto Theft				

Prosecution		Q1 Jul-Sep	Q2 Oct-Dec	Q3 Jan-Mar	Q4 Apr-Jun	Year to Date
112	State	# Felony				
113		# Misdemeanor				
114		Results Received				
115		Guilty/Verdict/Plea				
116		Gang Nexus				
117		Gang & Drug Nexus				
118		Drug Nexus				
119		Other Nexus				
120		Firearm Violation				
121	Federal	# Felony				
122		# Misdemeanor				
123		Results Received				
124		Guilty/Verdict/Plea				
125		Gang Nexus				
126		Gang & Drug Nexus				
127		Drug Nexus				
128		Other Nexus				
129		Firearm Violation				
130	Overall Prosecution	Prosecution Success Rate				
Seizures		Q1 Jul-Sep	Q2 Oct-Dec	Q3 Jan-Mar	Q4 Apr-Jun	Year to Date
131	Scheduled Drugs	Cocaine (grams)				
132		Crack Cocaine (grams)				
		Oxycotin (Dosage Units)				
		Oxycodone (Dosage Units)				
133		Diverted Pharmaceutical (Dosage Units)				
134		Hallucinogens (Grams)				
135		Heroin (All forms) (Grams)				
136	Marijuana	Marijuana, Bulk (Grams)				
137		Grows Indoor Dismantled				
138		Grows Indoor # Plants				
139		Grows Outdoor Dismantled				
140		Grows Outdoor # Plants				
141		# Grows Illicit Medical MJ				
142		# Plants Illicit Medical MJ Grows				
143	Meth & Club Drugs	Meth (Grams)				
		Meth Crystal (ICE) (Grams)				
144		Ephedrine (Grams)				
145		Pseudoephedrine (Grams)				
146		MDMA -Ecstasy (Dosage Units)				
147		Club Drugs (Dosage Units)				
148		Other Drugs (Dosage Units)				

Std=80%

Forfeitures		Q1 Jul-Sep	Q2 Oct-Dec	Q3 Jan-Mar	Q4 Apr-Jun	Year to Date
149	State Process	Number Successful				
150		Number Un-Successful				
151		Currency Amt Forfeited				
152		Real Property (Realized \$ Value)				
153		Other (Realized \$ Value)				
154		Success Rate				
155	Federal (DAG-71s)	Number Successful				
156		Number Un-Successful				
157		Currency Amt Forfeited				
158		Real Property (Realized \$ Value)				
159		Other (Realized \$ Value)				
Firearms		Q1 Jul-Sep	Q2 Oct-Dec	Q3 Jan-Mar	Q4 Apr-Jun	Year to Date
160	Firearms	# Seized				
161		# Forfeited				
162		# Firearms Rpt's to ATF				
163		# Hits on Rpt's to ATF				
Violent Crime Situation		Q1 Jul-Sep	Q2 Oct-Dec	Q3 Jan-Mar	Q4 Apr-Jun	Year to Date
164	Homicide	Total in Jurisdiction(s)				
165		Involving Firearms				
166		Gang Related				
167	Aggravated Assault	Total in Jurisdiction(s)				
168		Involving Firearms				
169		Gang Related				
170	Robbery	Total in Jurisdiction(s)				
171		Involving Firearms				
172		Gang Related				
Gang Situation		Q1 Jul-Sep	Q2 Oct-Dec	Q3 Jan-Mar	Q4 Apr-Jun	Year to Date
173	Gangs & Gang Members	# Gangs in Jurisdiction(s)				
174		# Gang M embers (Documented)				
175		Est'd # Gang Associates				
176		Field Contacts (as appropriate)				
		RISSGANG Submittals				
177		RISSGANG Inquiries				

Std=90%

To Best Judgement Std

Std=90%

To Best Judgement Std

**PROSECUTORIAL PROJECTS
PERIODIC ACTIVITY REPORT**

1	<Contracting Agency>		Performance Activity Reporting July 2010 - June 2011				
2	<Contract #>						
3	<Grant Source>						
	Project Staffing		Q1 Jul-Sep	Q2 Oct-Dec	Q3 Jan-Mar	Q4 Apr-Jun	Year to Date
4	Staffing <small>All Personnel w / Same Principal Focus as the Supported Project</small>	Prosecutors					
		Contract Attorneys					
		Para Legals					
5		Support Personnel					
6		Total					
7	FTE's based on ____Hr/Yr						
8	Staffing <Grant Source> Supported Personnel	Prosecutors					
9		Contract Attorneys					
10		Para Legals					
11		Support Personnel					
12		Total					
13	Overtime	Total # OverTime Hours					
14		JAG Supported Overtime Hours					

Prosecution		Q1 Jul-Sep	Q2 Oct-Dec	Q3 Jan-Mar	Q4 Apr-Jun	Year to Date
State	#Felony					
	#Misdemeanor					
	Results Received					
	GuiltyVerdict/Plea					
	Gang Nexus					
	Gang & Drug Nexus					
	Drug Nexus					
	Other Nexus					
Firearm Violation						

SDFC - CJ Section - Risk Assessment

Organization	
Program/Project	
Rater(s)	
Date	

How many months since the last on-site visit?	Months	Points	Score
	<=12	-0-	
	12-24	5	
	25+	10	

Audit or recent monitoring findings/concerns?	N/A	Points	Score
	N/A	-0-	
	Minor	5	
	Discrepancy	10	
	Significant	15	
	Finding	15	
	Unknown	15	

Reporting history?			
Is monthly/quarterly data submitted in a timely fashion?	If Yes to all	-0-	
Is data complete, accurate, filled out correctly?	If No to 1	5	
Is data internally consistent (e.g. sum of inputs = outputs)?	If No to 2+	10	

Voucher history?			
Timely, per program/contract requirements?	If Yes to all	-0-	
Consistently correct math, entries add?	If No to 1	5	
Use of current vouchers only?	If No to 2+	10	

What kind of organization is this?		Risk			
State agency	Coordinated Infrastructure	Low	-0-		
	Multiple independent divisions	High	10		
Unit of local government - General Purpose					
	Multi-departmental functions	High	10		
	Law Enforcement	Low	-0-		
	Prosecution	High	10		
	Court	Medium	5		
	Community services	Medium	5		
	Other Division: _____	High	10		
Unit of local government - Special Purpose - Limited Authority					
	Type: _____	High	10		
Non-Profit Service Organization					
	State / National infrastructure	Low	-0-		
	Established multi-function	Medium	5		
	w/ Gov't as fiduciary agent	Low	-0-		
	Local / limited function	High	10		
Non-Profit Association					
	Quasi-Governmental	Low	-0-		
	Established multi-function	Medium	5		
	w/ Gov't as fiduciary agent	Low	-0-		
	Local / limited function	High	10		
Commercial Organization		High	10		

Awards, Funding Levels	Total award(s)	Points	Score
	<\$100K	-0-	
	\$100K - \$200K	5	
	> \$200K	10	
	Awarded funds for 2+ programs?	If Yes	15

Page Total

				Points	Score
How long has the organization contracted with the SDFC, or with a unit/program with closely related controls?	5+ Yrs	-0-			
	2-5 Yrs	5			
	< 2 Yrs	10			
Has the contractor been responsive to unit correspondence and requests for information?	Yes	-0-			
	No	10			
Does the agency sub-contract it's service delivery? (Including multi-agency opns)	No	-0-			
	Yes	5			
Support, technical and program staff					
	Staffing meets program stds	Yes to either	-0-		
	Admin:Staff ratio beyond stds	No to either	10		
Participation	By all key agencies/groups	Meets Std	-0-		
		A concern	5		
		Below Std	10		
Has the organization had:	New functions/duties added?	No to all	-0-		
	Recent major restructure?	Yes to 1	5		
	Recent rapid pers'l growth/cuts?	Yes to 2+	10		
	Excessive key staff turnover? (2+/yr)	10			
Is the organization accredited	By: _____	N/A	-0-		
		No	5		
		Yes	-0-		
Experienced problems w/accreditation?	No	-0-			
	Yes	5			
Difficulties:					
		N/A	-0-		
Has application/contract amendment or negotiation been necessary?	If, Yes	10			
Is there a history of contract/performance difficulty?	If, Yes	10			
Is there a current concern or issue?	If, Yes	10			
Participates in Program Training/Conferences?	Yes - N/A	-0-			
	Some	5			
	No	10			
Performance	Reported performance measures	N/A	-0-		
	10% below expected level	1 PM	5		
		2 PM	10		
		3+ PM	15		
Subjective & Special Concerns, Not addressed elsewhere		None	-0-		
	Question	5			
	Concern	10			
	Issue	15			
	Question	5			
	Concern	10			
	Issue	15			
Low - No visit indicated		< 50	Column/Page Total		
Med - Visit as able		50 - 100	1st Page Total		
High - Visit this Year		> 100	Total Score		

Hi - Med - Lo

Blanks at: S:\SDFC\Programs\Monitoring - Risk Assessment\Blank Risk Assessment.xls

Save filled out assessments at: S:\SDFC\Programs\Monitoring - Risk Assessment\Risk Assessments_____.xls

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SUB-RECIPIENT INFORMATION

Enter all sub-recipients’ identification, award, and project information.

If the state agency coordinating the program retains direct expenditure authority of any of the managed awards, it should enter itself as a sub-recipient for that portion it retains, and use the primary COMMERCE contract number as the Award Number.

This information is required to complete Bureau of Justice Assistance’s “Project Information” and “Funded Projects” reports.

Award#/ Grantee Name	Project	Award Amount	Short Description (if not self-explanatory)	Point of Contact	Street Address	Street Address ²	City	County(s) (if all, enter “All”)	State	Zip (Plus 4)	Telephone #	Intervention Model or Program Variant

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Project Name:

[illegible]

C – Coordinator or Commander
S – Supervisor
I – Investigator
P – Prosecutor

A – Administrative Support
L – Prosecutor Support
N – Analyst
O – Other

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APPENDIX P11

CASH ACCOUNT AND INVESTIGATIVE RECORD CROSSWALK

Cash Fund

Issuing Supervisor: _____ Amount Issued: (c) \$ _____
 Receiving Officer: (a) _____ Date/Time: (d) _____
 Case #: (b) _____ Receipt/Tracking #: (e) _____

Amount Returned: \$ _____ = Funds not disbursed to CI and Recovered Funds Yes No
 Date/Time: (p) _____ (g)+(k)+(l)

Elapsed time from the buy to return of recovered/unused funds _____ = _____ - _____
 (o) (p)

Officer returning funds: _____ Same as (a) Yes No Yes No
 If No, hand-off receipt on file

Percentage of Funds Walked:
 Calculation: $\frac{(m)}{(h)-(i)} = \frac{\quad}{\quad} = \frac{\quad}{\quad}$

Informant File

Informant File Identifier: _____ (if by 'Name', enter only NAME, do not equal the CI's true name)

Case #: _____
 Record of this disbursement to CI Yes No \$ _____ = (h)
 Amount of this disbursement for Services Yes No \$ _____ = (i)
 Amount of this disbursement for Buy(s) Yes No \$ _____ = (j)
 Record of recovery from the CI: Yes No \$ _____ = (k)

Disbursement to CI: _____ Receipt obtained/On File
 _____ w/ Receiver's signature
 _____ w/ Issuer's Signature = Cash Fund Receiving Officer? Yes No
 _____ w/ Witness' Signature

Recovery from CI: Record of receipt issued Yes No
 Amount = Case file entry (k) Yes No

Case File

Case: _____
 CI's Identifier: _____
 Disbursement/Use: _____ Buy-Walk _____ Buy-Bust _____ Informant Payment _____ Other

Date/Time: _____
 Receiving Officer: _____
 Amount Rec'd: (f) \$ _____ = (a) above Yes No
 Not Disbursed: (g) \$ _____
 Disbursed: (h) \$ _____
 Payment for Svcs: (i) \$ _____
 Adv'd for Buy: (j) \$ _____ @ (o) _____ Date/Time of Buy
 Recovered from CI: (k) \$ _____
 Recovered @ bust: (l) \$ _____
 Not Recovered: (m) \$ _____
 Returned to Fund: (n) \$ _____

All funds accounted for:
 Total (f) = (g)+(i)+(m)+(n) Yes No
 Used/Recovered (j) = (i)+(k)+(l)-(m) Yes No
 Walked/Fee/Returned (n) = (f)-(i)-(m) Yes No

Evidence Bought/Seized:	Drug Type	Qty	Cost				
Evidence:	(1) _____	_____	@ \$ _____	≈ Mkt	Yes	No	
Paid for evidence:	(2) _____	_____	@ \$ _____	≈ Mkt	Yes	No	
	(3) _____	_____	@ \$ _____	≈ Mkt	Yes	No	
	(4) _____	_____	@ \$ _____	≈ Mkt	Yes	No	
	(5) _____	_____	Σ \$ _____	≈ to cost (k)	Yes	No	

Evidence Room Receipt: Accurately reflects each item bought/seized (1) thru (4) Yes No