

File Management Best Practices for FRCP Grants*

Grant Manager Roles

1. Internal Controls & Management Organization
2. Conflict of interest policy
3. Allowable and unallowable costs
4. Meeting deadlines
5. Internal monitoring and budget meetings
6. Risk Assessment with sub-contractors
7. Training staff on all changes
8. On-Site and Desk Monitoring practices

Pre-Award Documents

1. Request for Proposal (RFP), Request for Application (RFA) posted through funding source.
2. Proposal/Application submitted
 - a. Submittal of the proposal by the grantee, to include detailed budget, budget narrative, workplan, and project timeline
3. Confirmed there is no conflict of interests prior to execution of the agreement
 - a. Should a conflict arise after the execution of the agreement, documentation that FRCP has been notified of such
4. Verification that all Sub-contractors have been searched and cleared on the Non-Debarment and Non-Suspension list for agreements \$25K or more in federal funds via <https://www.sam.gov/SAM/>
 - a. It is a good practice to search all sub-contractors regardless of funding source
5. Selection process documented for all sub-contractors with reasoning for the selection made
6. Established a file folder structure for each project
7. Notification of Grant Award
 - a. This may be an email indicating the anticipation of a grant award, pending State Fiscal Year Budget funding
 - b. This may be a letter from the funding entity advising of the grant award notification.
8. Communication documents

Types of Documentation

1. Restrictive Rules & Hierarchy
2. Non-Compliance & Failure to Comply
 - o Written notification
 - o Corrective action plan
 - o Financial consequences
3. Retention rules
 - Starts on the date the agreement is closed out by FRCP
 - FRCP requires 5 years retention
 - Follow agency rules on retention (only if longer than specified above)

Agreement Documents

1. Grant Agreement
 - a. Fully executed copy of the agreement between FRCP and the grantee
 - b. Includes all amendments or changes order that may be executed for the agreement
 - c. Sub-Contract Agreements and Major Purchases
 - i. Copy of each sub-contractor agreement used for the project
 - ii. Invoices/Receipts/Purchase Orders for all major purchases for the project
 - d. File close out documents
2. **Financial Documents**

- a. Exhibit C Form clearly labeled and only those that are allowable per the grant agreement are being requested for payment
 - b. All Sub-Contractor agreements and/or procurement process completed (include announcements that were posted if applicable)
 - i. Selection process utilized to select the winner
 - c. All invoices received from any entity with relation to the project, to include Purchase Orders
 - i. Salary Documentation
 - 1) Timesheets, with job title, showing hours worked on the project dates those hours were worked, and signature of employee, verifying information
 - 2) Paychecks and/or pay stubs, showing wages paid out, and benefits paid out to employee
 - 3) Cancelled paycheck by employee or bank statement showing payment has cleared
 - ii. Fringe Benefit Documentation
 - 1) Copy of paychecks and/or pay stubs, showing wages paid out, and benefits paid out to employee
 - 2) Percentage of fringe calculations are indicated that meet or are less than the grant agreement documented rates allowed
 - iii. Indirect Costs
 - 1) Consists of facility costs, administrative salaries, legal services, insurance, taxes, etc.
 - 2) All federally funded agreements must use the federally approved negotiated indirect rates, established from the Federal agency that provides the most funding to the grantee
 - 3) Federally funded rate can last from 1-5 years, before a new rate must be calculated
 - 4) If no federal rate has been established for the grantee, a defaulted approved rate of 10% may be used
 - iv. Travel Documentation
 - 1) Travel pre-approval forms, with estimated travel dates, and costs
 - 2) Post-travel forms, with actual costs submitted
 - 3) All receipts for travel costs
 - 4) All payments made to entities for travel costs that were paid out
 - v. Training Documentation
 - 1) All documentation regarding any training that is related to the project that the grant agreement is funding
 - 2) Listings of all participants in trainings that are related to the project that the grant agreement is funding
 - 3) Any receipts showing costs that were paid out for training that was related to the project that the grant agreement is funding
 - d. In-kind or donations received for the project
- 3. Payment Requests**
- a. Request for Payment via Exhibit C form as specified in the agreement
 - b. Progress Report via Exhibit A form as specified in the agreement, showing requested task payment at 100% completion
 - c. All receipts and backup documentation as required per agreement payment guidelines
 - i. Fixed Price – Sub-Agreements, and all invoices
 - ii. Reimbursement – Sub-Agreements, all invoices, salary, fringe, indirect, travel, training, etc. (as listed above 2.c.)
- 4. Project Documents**
- a. Deliverables
 - i. All deliverables submitted for the project, clearly labeled for each task they are associated with
 - ii. Ensuring all deliverables are tangible, measurable, and verifiable

- iii. All plans, permits, drawings and validations are saved in a pdf format and submitted with appropriate corresponding task(s)
- iv. Exhibit G documents if pertinent to deliverables
- v. Notification of each deliverable that was accepted by FRCP
- b. Quarterly Reports
 - i. All quarterly reports (Exhibit A) submitted for the project, clearly labeled for each quarter they are associated with
 - ii. All tasks for the project are included on every quarterly report, with a current status update on each task
 - iii. Percentage of completion for each task included
 - iv. Signed and dated by the Grant Manager
 - v. Notification of receipt by FRCP
- c. Final Report
 - i. Final Report submittal via the Exhibit F form as specified in the agreement
 - ii. Notification of receipt by FRCP

General Documentation

1. Correspondence, emails and letters
 - a. Correspondence between Grantee and Funder (i.e. change in grant manager assigned to the agreement, and grant closeout notification)
 - b. Correspondence between Grantee and sub-contractors or other entities relate to the project
2. Project Timeline with dates and funding amounts
3. Project reconciliation or closeout reports
4. Meeting minutes related to the project
5. Sign-in sheets for any meetings held
6. Press releases that were submitted
7. Any information that documents challenges or success with the project

Submittal Documents to FRCP

1. All Sub-Contractor agreements
2. All invoices received (as stated above)
3. All Deliverables (as stated above)
4. All Quarterly Reports (as stated above)
5. Final Report submittal (as stated above)
6. Request for Payment (as stated above)
7. All receipts and backup documentation as required

NOTE: All listed documents that are required to be maintained on file as a sub-recipient, are also required to be maintained for any sub-contractors that may be used for the project, by the sub-recipient.