Grantee/Subgrantee Terms and Conditions Checklist

Purpose: By accepting a grant from DOEE, your organization has agreed to comply with DOEE’s Grant General Terms and Conditions. This checklist was developed to help DOEE’s grantees successfully comply with the terms and conditions.

Directions: Complete the checklist below and send it with a copy of your administrative and/or personnel policies and procedures to the DOEE grant manager. In the comments section, please put the page number where the policy can be found, and any additional comments. This checklist is due with your first quarterly report.

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| Organization Name: | Grant Agreement #: |
| Contact Person: | Grant Manager: |
| Email: | Award Amount: |

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|  | **Communications Policies** |  | **Comments** |
| 1 | Does the grantee have policies regarding communicating changes in material conditions? | [ ] Yes [ ] No |  |
| 2 | Did the grantee have a change in material conditions?* If yes, did the grantee report the change in material condition as required by the terms and conditions?
 | [ ] Yes [ ] No[ ] Yes [ ] No | If yes, please describe the material change. |
| 3 | Does the grantee have policies regarding unusual incident reporting that would affect performance of the grant?* If yes, does it include reporting to DOEE within 24 hours of the incident or of learning of the incident?
* Does it include communicating to DOEE, in writing, within five (5) days of the incident?
 | [ ] Yes [ ] No[ ] Yes [ ] No[ ] Yes [ ] No |  |
| 4 | Did the grantee have an unusual incident? * If yes, were the proper procedures followed?
 | [ ] Yes [ ] No[ ] Yes [ ] No | If yes, please describe the unusual incident. |
|  | **Unethical Conduct** |  | **Comments** |
| 5 | Does the grantee have policies and procedures regarding unethical conduct? Does the policy include:* Conflicts of interest?
* Restrictions giving gifts to District personnel?
* Restrictions on accepting grant-related gifts from a contractor, subcontractor, or vendor?
 | [ ] Yes [ ] No[ ] Yes [ ] No[ ] Yes [ ] No[ ] Yes [ ] No |  |

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|  | **Safe Work Environment** |  | **Comments** |
| 6 | Does the grantee have safe work environment policies and procedures? Does the policy include procedures for the following:* Reporting unsafe working conditions?
* Investigating unsafe work conditions?
* Taking action in a timely manner?
 | [ ] Yes [ ] No[ ] Yes [ ] No[ ] Yes [ ] No[ ] Yes [ ] No |  |
|  | **Document Retention for 3 Years** |  | **Comments** |
| 7 | Does the grantee have a document retention policy? * If yes, does the policy allow for the retention of documents for 3 years after the final DOEE payment of the grant, or the end of the District fiscal year in which the grant ends?
* Does the grantee’s retention policy include retaining documents until a claim, litigation, or audit has been finally resolved?
 | [ ] Yes [ ] No[ ] Yes [ ] No[ ] Yes [ ] No |  |
| 8 | Do the documents that are maintained include the following?* Complete documentation of the grant activities
* Financial records and other documents supporting accounting entries
* If applicable, federal audit
 | [ ] Yes [ ] No[ ] Yes [ ] No[ ] Yes [ ] No |  |
|  | **Rights in Data Collection** |  | **Comments** |
| 9 | Does the grantee have policies and procedures regarding data collection? Does the policy include the following:* Protections for personal information?
* A list of the type of information that is kept confidential?
* Coping and storing confidential data?
* A time table for destroying confidential information?
* Verification methods to determine if the data is of the destroyed?
 | [ ] Yes [ ] No[ ] Yes [ ] No[ ] Yes [ ] No[ ] Yes [ ] No[ ] Yes [ ] No[ ] Yes [ ] No |  |

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|  | **The Americans with Disabilities Act** |  | **Comments** |
| 10 | Does the Grantee have policies that assure they do not discriminate against a qualified individual during the application, interview and orientation and training process? | [ ] Yes [ ] No |  |
| 11 | Does the Grantee have a reasonable accommodations policy for employees with disabilities? | [ ] Yes [ ] No |  |
|  | **Drug Free Workplace Act** |  | **Comments** |
| 12 | Does the grantee have a published Drug Free Workplace statement? * Does the statement include a notification that it is unlawful to manufacture, distribute, dispense, possess, or use a controlled substance in the grantee's workplace?
* Does the policy include specific actions that will be taken against employees for violations?
 | [ ] Yes [ ] No[ ] Yes [ ] No[ ] Yes [ ] No | This should be checked no later than 30 calendars days after the date of the GAN |
| 13 | Have all employees, engaged in the performance of the DOEE funded project, received a copy of the Drug Free Workplace statement and applicable laws? | [ ] Yes [ ] No |  |
| 14 | Has the grantee established a drug-free awareness program? Does the program to inform employees about the following:* The dangers of drug abuse in the workplace?
* The Grantee's policy of maintaining a drug-free workplace?
* Any available drug counseling, rehabilitation, and employee assistance programs?
 | [ ] Yes [ ] No[ ] Yes [ ] No[ ] Yes [ ] No[ ] Yes [ ] No |  |