



State of Arizona Grant Management Manual - Grantee

Chapter 8 Grant Closeout
Section 8.5 Document Retention

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INTRODUCTION

A significant portion of State programs are funded by way of grants; these grants predominantly, but not exclusively, originate with the Federal Government. The receipt of grant monies carries with it certain administrative obligations set forth in grant documents and Federal publications, as well as in State laws, rules, other authoritative grant-related publications, such as the GMM, and accounting policies, such as the *State of Arizona Accounting Manual (SAAM)*.

From an administrative perspective, grants have two aspects: program and finance. The program aspect involves what is done, while the finance aspect involves how what is done is paid for. This interrelationship is unavoidable and important. The proper administration of grants requires cooperation and communication between the program and the finance personnel.

A grant recipient's responsibility involves a significant degree of cooperation and communication is to appropriately document all programmatic and financial activity and to preserve these documents for oversight and inspection, which is discussed in this section of the GMM.

The State is a single entity composed of many agencies. The State, as a whole, is the "prime recipient" of any grant or similar award. Agencies within the State generally receive proceeds directly from the "awarding entity." The agency that receives proceeds directly from the awarding entity is the "administrative agency." The administrative agency may, itself, spend the proceeds on expenses it incurs, in which case, it is the "expending agency." The administrative agency may also act as a "pass through agency" when, rather than spending the proceeds itself, redirects or passes through the proceeds to another agency, which spends the proceeds and becomes the expending agency.

POLICIES

- 1) As indicated by SAAM 7005, grants received by State agencies shall be established in eCivis.
- 2) In order to ensure the proper coordination between the program and finance personnel, each grant in eCivis is to be administered by a grant management team comprised of at least one program person and one finance person.

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- 3) An administrative agency and the assigned eCivis Project Team Lead for a subject grant shall maintain within eCivis the official grant file (in accordance with record series 000-12-16 Grant Records) with complete programmatic records of a grant or grant program which shall include, but not be limited to:
 - a. Grant pre-application and all documentation related to the grant pursuance and opportunity vetting;
 - b. Grant application and all documentation related to the development of the SF-424 forms family or similar application documentation packet;
 - c. Award decision and any documentation notifying the grantee of either a successful or unsuccessful application;
 - d. Grant Reporting:
 - i. Programmatic reports required by the grantor on either a monthly, quarterly, annual, or adhoc basis;
 - ii. Financial reports required by the grantor on either a monthly, quarterly, annual, or adhoc basis; and
 - iii. Performance reports required by the grantor or other oversight entity either on a monthly, quarterly, annual, or adhoc basis.
 - e. Monitoring documentation including any grantor monitoring reports, findings, question costs or corrective action plans;
 - f. Closeout documents including approval of grant closeout by the grantor along with any closeout reports both programmatic and financial.

The administrative agency and assigned eCivis Project Team Lead should seek guidance from the grant award documents and the grantor to determine any grant specific requirements for documentation to be stored in the grant file.

- 4) While it is technically feasible to include all financial documentation in eCivis as well, the current policy does not require it. The administrative agency and the assigned eCivis Project Team Lead should work with his/her agency financial counterpart and GAO Liaison to determine the most appropriate place to store financial documents.
- 5) The official grant file may be reviewed by the Office of Grants and Federal Resources for quality assurance purposes and shall be subject to audit by the Arizona Office of the Auditor General and any other authorized entity.
- 6) This policy takes effect as of January 1, 2017, for all new grants (awarded on or after January 1, 2017) and for all open and active grants [currently in both or either eCivis and/or Arizona Financial Information System (AFIS)] as of July 1, 2017.