

Managing Your Grant

Financial & Administrative Guide



- State Administering Agency (SAA) for at least 10 federal grant programs
- Serves as the contact point for the State with federal agencies



DAC Federal Grants Division



- Provide staff support to 6 boards and task forces
- Review applications and make funding recommendations
- Recommendations are based on quality of the application, grant management and compliance history
- Receive funds and disperse them to subgrantees



DAC Federal Grants Division



- Provide guidance and technical assistance to subgrantees
- Evaluate and monitor compliance
- Collect statistical data to assess effectiveness and report to federal granting agencies
- Prepare and submit all the federally-required reports and evaluations

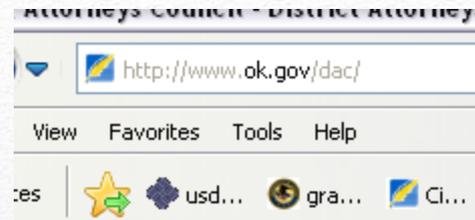


DAC Federal Grants Division



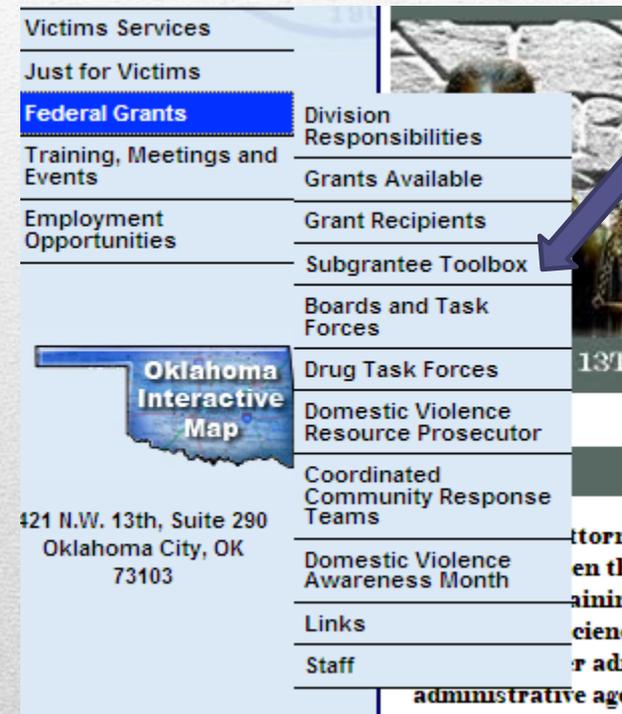
- DAC website:

- www.ok.gov/dac



- Subgrantee Toolbox

- Administrative Guides
- Project Forms
- Blank Budget Forms
- Annual Reports & Plans
- Other helpful links



DAC Federal Grants Division

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DAC Federal Grants Division

- Purpose
 - Supports the establishment, maintenance, and expansion of sexual assault services by non-governmental victim services programs to assist those victimized by sexual assault



SASP

- Provides intervention, advocacy, accompaniment (i.e. accompanying victims to court, medical facilities, police departments, etc.), support services and related assistance



SASP

- Adult, youth, and child victims of sexual assault, family and household members of victims, and those collaterally affected by sexual assault
- Support rape crisis centers in providing direct intervention and related assistance services
- Support dual programs that provide sexual assault and domestic violence services to enhance the provision of sexual assault-related direct intervention and related assistance services

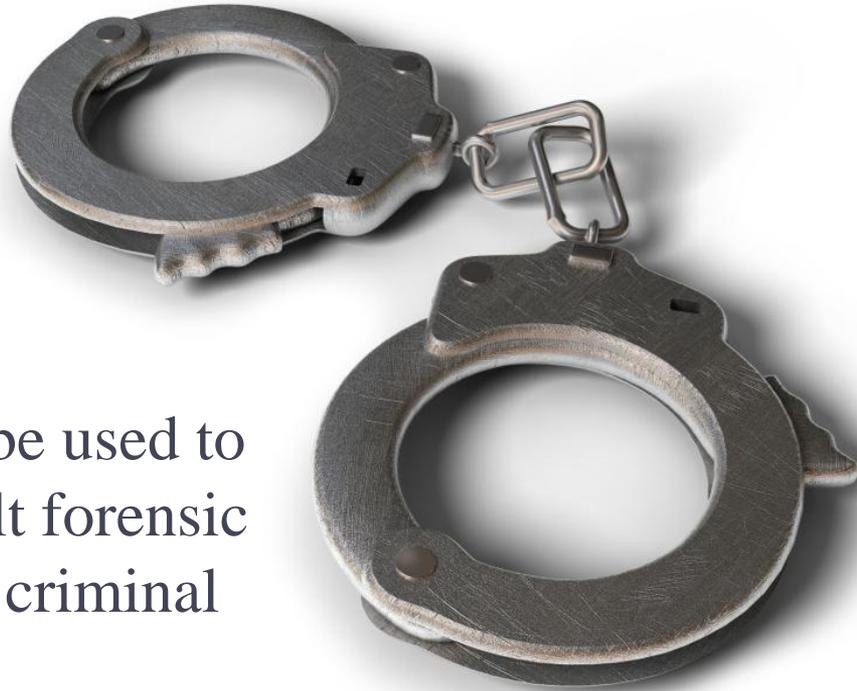
SASP - Priorities



- A victim service position that provides crisis intervention
- A program that focuses on teen victims of sexual violence and re-educating women about unhealthy relationships
- Development of a support group
- Developing an outreach campaign that increases awareness of available services

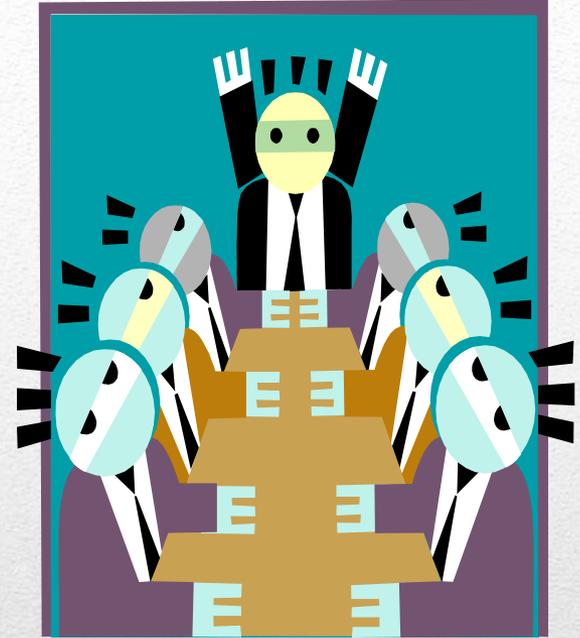
SASP - Examples

- Grant funds **cannot** be used to support sexual assault forensic examiner projects or criminal justice activities



SASP – Not Allowed

- Includes 6 people who represent:
 - Law Enforcement (2)
 - Prosecution
 - Victim Services
 - Attorney General's Office
 - DAC
- Determines funding priorities
- Reviews and approves funding proposals
- Provides general oversight to VAWA and SASP



S.T.O.P. VAWA BOARD

- Chief Executive Officer
- Project Director
- Fiscal Officer
- PD and FO may NOT be the same person
 - Check and balances
 - Chain of command
- Fiscal Officer is the person who **ACTUALLY** **COMPLETES** the financial reports



Personnel Requirements

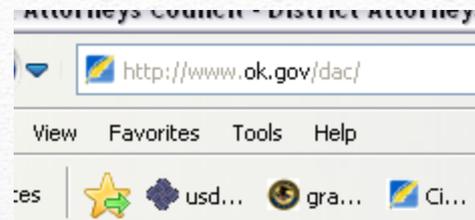
- Personnel Changes
 - Change in PD or FO
 - Submit an A-9 form
 - Needs to be signed by the CEO
 - Submit an A-1 Form
 - Needs to be signed by the CEO



Personnel Requirements

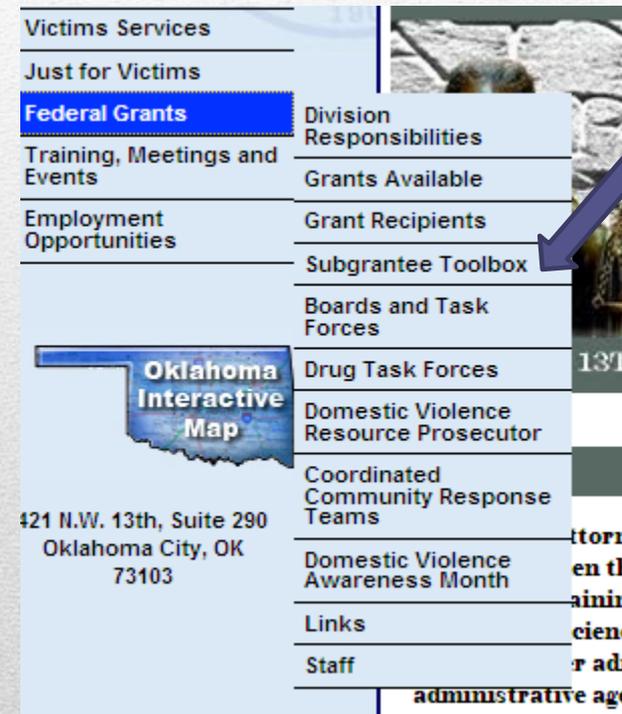
- DAC website:

- www.ok.gov/dac



- Subgrantee Toolbox

- Financial/Administrative Guide
- Print it out
- Put it in a binder



DAC Federal Grants Division



FIRST THINGS FIRST

Award Documents

- Nearly every grant has fiscal, administrative, and programmatic requirements
- When federal funding is received, these strings are shared with the subgrantees



**Award Docs
Due Feb. 15**



Award Documents

- Award packets were sent in November
- Award Packet Contents to be returned to DAC:
 - Award Notice – notarized!
 - Special Conditions



Award Documents

- Terms and conditions of the grant
- CEO signature signifies willingness to abide by the rules
- Global Requirements
 - Attend the Financial Meeting
 - Return the documents by deadline
- Individual Requirements
 - Goals and Objectives
 - Budget specifics

Special Conditions

- The subgrantee agrees to use funds for those purposes which were identified in the application
- If the use of the funds changes the scope of the program from the application, you must obtain written approval of that plan BEFORE expending funds
- Any funds expended prior to written approval of an amended program plan may be determined to be an unallowable use of grant funds

Special Conditions - Budget

- The subgrantee assures that SASP monies are not being used for activities that may compromise victim safety
- Examples:
 - Failing to respect the victim's autonomy
 - Failing to respect the victim's decision-making
 - Using the coercive power of the court and requiring the victim to meet with the District Attorney for questioning
 - Forcing the victim to participate in criminal proceedings or testify
 - Subpoenaing a victim and arresting them if they fail to appear
 - Requiring a victim to meet with a victim advocate

Special Conditions – Victim Safety

- Subgrantees may not disclose personally identifying information about victims served with OVW funds
 - Written release from the victim
 - Information is required by a statute or court order
- This applies whether the information is being requested for an OVW grant program or another Federal agency, state, tribal, or territorial grant program
- This provision also limits disclosures by OVW subgrantees to OVW grantees, including disclosures to statewide or regional databases

Special Conditions – Confidentiality

- The subgrantee understands and agrees that it cannot use any federal funds, either directly or indirectly, in support of the enactment, repeal, modification or adoption of any law, regulation or policy, at any level of government, without express written permission from OVW

Special Conditions - Lobbying

- Subgrantees must take reasonable steps to ensure LEP persons have meaningful access to the services under this grant program
- Meaningful access may entail providing language assistance services, including oral and written translation when necessary

Special Conditions - LEP

- Each subgrantee is to promptly refer to an appropriate inspector general any credible evidence that a principal, employee, agent, contractor, subgrantee, subcontractor, or other person has submitted false claim under the False Claims Act or has committed a criminal or civil violation of laws pertaining to fraud, conflict of interest, bribery or gratuity, or similar misconduct

Special Conditions – Fraud & Abuse

- You must report potential fraud, waste, abuse, or misconduct to the U.S. Department of Justice, Office of the Inspector General (OIG) by:
 - Mail
 - Email: oig.hotline@usdoj.gov
 - Hotline: (English and Spanish) 800.869.4499

Special Conditions – Fraud & Abuse

- Misuse of grant funds may result in a range of penalties, including:
 - Suspension of current and future funds
 - Suspensions or debarment from federal grants
 - Recoupment of monies provided under a grant
 - Civil and/or criminal penalties



Special Conditions – Fraud & Abuse

- If required, the subgrantee will submit an acceptable Equal Employment Opportunity Plan (EEOP) that is approved by the Office of Civil Rights within **45 days from the date of the award**
- Failure to submit an approved EEOP is a violation of the Special Conditions and may result in suspension or termination of funding, until such time as the subgrantee is in compliance

Special Conditions – EEOP

- It is the responsibility of a State Administering Agency to ensure that its subgrantees are complying with all applicable federal civil rights laws
 - Title VI of the Civil Rights Act of 1964
 - Program Statutes (e.g., Safe Streets Act, Victims of Crime Act, JJDPA)
 - Section 504 of the Rehabilitation Act of 1973
 - Title II of the Americans with Disabilities Act of 1990
 - Age Discrimination Act of 1975
 - Title IX of the Education Amendments of 1972

Special Conditions – Civil Rights

- **All materials and publications** (written, visual, or sound), resulting from award activities shall **contain** very specific language about funding

Special Conditions – New Federal

- "This project was supported by Grant No. (*obtain grant number from Federal Grants Division*), awarded by the state administering agency for the SASP Formula Grant Program and the Office on Violence Against Women, US Department of Justice. The opinions, findings, conclusions, and recommendations expressed in this publication/program/exhibition are those of the author(s) and do not necessarily reflect the views of the Department of Justice, Office on Violence Against Women."

Special Conditions – New Federal

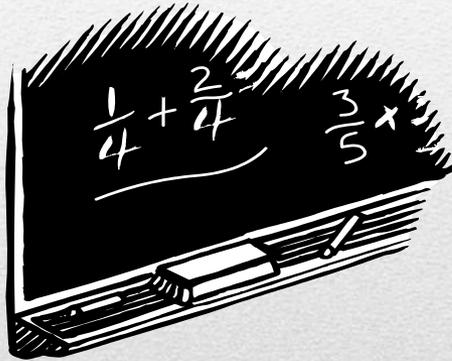
- The subgrantee acknowledges that **funds** may **only be used** for the provision of **direct intervention** and related assistance to **victims of sexual violence**, including 24-hour crisis line services, medical and criminal justice/civil legal accompaniment, advocacy, and short term individual and group support counseling

Special Conditions – New Federal

- Funds **cannot** be used towards **prevention education** efforts, projects focused on **training** allied professionals and/or communities, or the establishment or maintenance of **Sexual Assault Response Teams**

Special Conditions – New Federal

Outreach = telling the public and victims WHAT services your agency provides – like advertising.



Education = telling the public WHY you have these services.

Prevention = making suggestions to the public on HOW to prevent the WHY that leads to the WHAT.

Outreach vs. Awareness/Education

- Subgrantees will not pay consultants in excess of **\$650** without prior OVW review and approval
- Requires a detailed justification submitted to OVW through DAC



Special Conditions – New Federal

- Subgrantees will adopt and enforce policies **banning** employees from **texting** while operating any vehicle during the course of performing work funded by this grant



Special Conditions – New Federal

- Subgrantees will not maintain an **excess of cash on hand**
- All requests for funds will not be made more than 30 days prior to disbursement
- If a subgrantee is found to have an excess of cash on hand, they **agree to return** it to DAC upon request



Special Conditions – New DAC

- Subgrantees designated **high-risk** agree to **comply** with any **additional requirements** that may be imposed by the Federal Grants Division
 - Additional performance reports
 - Financial ledger submission

Special Conditions – New DAC

- What makes a subgrantee high-risk?
- Can be a single issue:
 - New subgrantee
 - Failure to make progress on goals and objectives
- Can be a combination of several issues:
 - New Project Director/Fiscal Officer
 - More than 2 incorrect or late financial or programmatic reports
 - Corrective actions that result from site visits
- Use these same criteria to determine site visits and training attendance requirements
- DAC Staff and Board use only

High-Risk

- Lobbying, Debarment, Suspension, etc., Certifications
- Standard Assurances



Award Documents

- If proceedings have been initiated, or if you have been convicted of, indicted for, either criminally or civilly, for fraud, embezzlement, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property, then you can be debarred
- Debarment or suspension has a government-wide effect
- Barred from receiving ALL federal funds

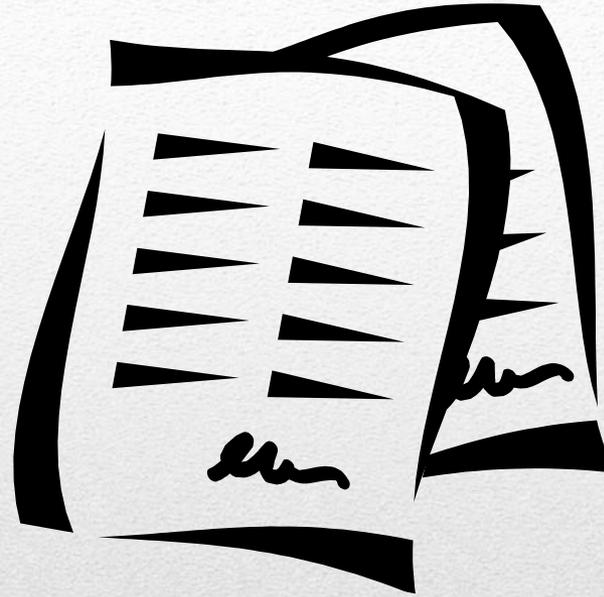
Standard Assurances - Debarment

- As a subgrantee, you are required to maintain a drug-free workplace
- A Drug-Free Workplace Policy must be posted in a location where all employees have access to it



Standard Assurances – Drug Free

- The A-Team
 - Form A-1
 - Form A-4
 - Form A-10
 - Form A-12
 - Form A-13



Award Documents

- Revised Goals and Objectives
 - If required
- Budget Pages
 - Completed based on awarded amount in categories specified in Notification of Action
 - Narratives **MUST** be completed for all funded categories
- EEOP Certification
 - Completed and signed by CEO

Award Documents

- As a subgrantee, you are required to maintain an “active” CCR profile
 - Central Contractor Registry
 - not Coordinated Community Response
 - www.ccr.gov
 - Click “Search CCR”
 - Enter your agency DUNS number
 - Print off the results
- Make sure your profile is “public”

Historical Records Available:

Registration Status: Active in CCR; Registration valid until 02/16/2011.

DUNS: 044508617

DUNS PLUS4:

CAGE/NCAGE: 5B7Z5

Legal Business Name: LATINO COMMUNITY DEVELOPMENT AGENCY

ing Business As (DBA): RIVERSIDE COMMUNITY

Division Name:

Division Number:

Award Documents – CCR Confirmation

- Goals and Objectives
 - Must be measurable
 - Must be allowable
- Approved
 - Received a letter that releases you from Special Condition #9
- Revised
 - Received a letter telling you exactly what needs to be revised
- MUST be submitted on goals and objective pages from grant application
- Cannot be e-mailed or sent in a word document

Award Documents – G'n'O

- Notification of Action
 - Sent in November
 - Tells you how much
 - Tells you how it can be spent
- Budget **MUST** be revised based on that information
- Narratives **MUST** be completed
 - Benefits **MUST** be figured separately from the salary
 - Benefits need to be specified in the narrative



Award Documents – Budget



- FEDERAL form
- Should match the information provided on the A-4

Award Documents – EEOP Certification

- Award packet is due February 15, 2012
- No grant money can be drawn until the award documents are returned and approved
- Failure to submit correct, complete award documents by the deadline could result in forfeiture of your award



**Award Docs
Due Feb. 15**



Award Documents

- Award Notice will be signed by DeLynn
- Budget will be reviewed by Tara and Virginia
- Award Notice and Budget, stamped “**APPROVED**”, will be faxed to the Project Director



**Award Docs
Due Feb. 15**



Award Document Approval



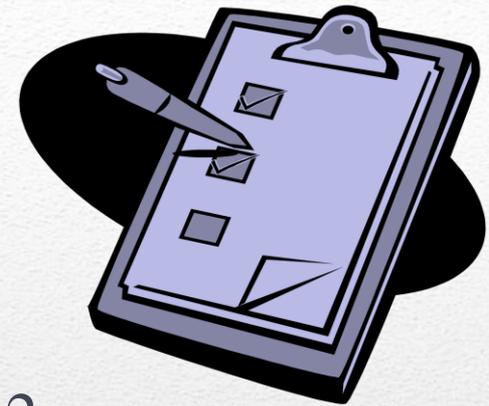
QUESTIONS



GETTING STARTED

Grant Implementation

- Award Period
 - 1/1/2012 to 12/31/2012
- Do **NOT** expend funds before 1/1/2012
- Expenditures **MUST** be encumbered, through a purchase order or some other means before 12/31/2012
- You have 45 days past 12/31/2012 to pay for those encumbrances



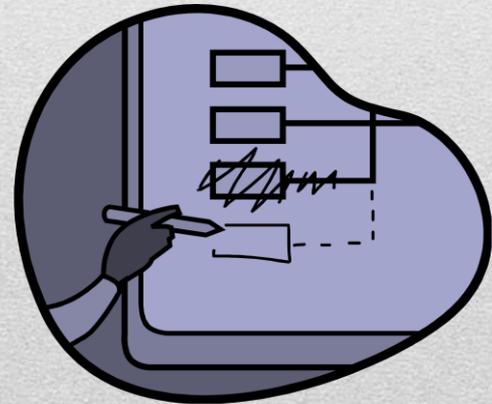
Project Information

- **REQUIRED** to be operational within 60 days of start date – March 1, 2012
- If there is a delay, you must send a letter to DeLynn Fudge, Director of Federal Programs, explaining the delay
- If your project is not operational in 90 days, a second letter must be sent



Project Information

- May only use the funds for activities and purposes that were approved in the application and budget
- Change in scope occurs when programmatic activities or budget deviates from approved application
- Change in scope of the project requires **BOARD APPROVAL**



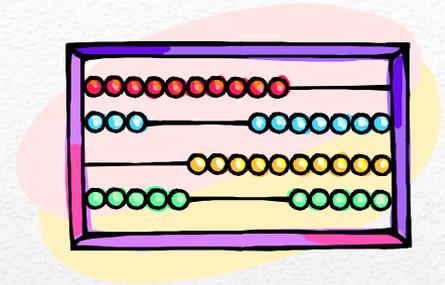
Change in Scope

- Programmatic reports are required for all grant projects
- Track the progress and effectiveness of the grant program
- Two programmatic reports are required:
 - Muskie Reports (Federal)
 - S-2 Semi-Annual Progress Report (DAC)
- The beginning of the grant is the time to decide how you will collect and record the stats needed to complete these reports



Programmatic Reports

- Review the Muskie Report form
- Two kinds of information to track:
 - Items everyone must complete
 - Items that apply to your specific program
 - **Reporting Period: 1/1/2012 to 12/31/2012**
- **Only** track statistics on the **GRANT-PAID** activities
- Do **NOT** keep statistics for your entire agency for this report
- Report will be e-mailed to you in December
- Muskie Report Due
 - January 31, 2013
- There is a Muskie Database available – **FREE** – to assist in collecting statistics for this report



Muskie Report

- Collects status of goals and objectives
- Only collect information on grant-paid activities
- Report Dates:
 - 1/1/2012 to 6/30/2012 Due: July 15, 2012
 - 7/1/2012 to 12/31/2012 Due: January 31, 2013
- Form will be sent to you via e-mail in June and December



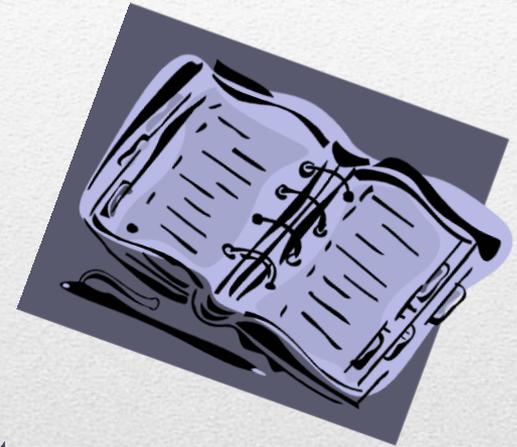
S-2 Semi-Annual Progress Report

- The beginning of the grant is also the best time to decide how you will organize your grant records
- Keep all records – fiscal and programmatic – in one accessible file or notebook
- Grant records should be kept in one location
- Use a 3-ring binder, records file, or a system of your choice



Record Organization

- Tabs:
 1. Application – Copy of original with signature
 2. Award Documents (signed copies)
 - Award Notice – signed by DeLynn Fudge
 - Special Conditions
 - All of the “A” award documents
 - Approved budget – stamped “APPROVED”
 3. Spreadsheets
 4. A-3s
 5. A-7s
 6. Copies of checks, invoices, POs, and receipts
 7. Correspondence – letters, e-mails, fax confirmation sheets, progress reports and other documents related to the grant



Record Organization



QUESTIONS



GETTING STARTED

Finances

- Commingling is **NOT** allowed!!
- **Each** grant must be accounted for separately
- Grants must be accounted for separately from all other money
- SASP funds cannot be used to support other projects
- You **MUST** have separate accounting ledgers that show the receipt and expenditures of grant funds
- You **MUST** have general accounting ledgers that show grants funds tracked separately

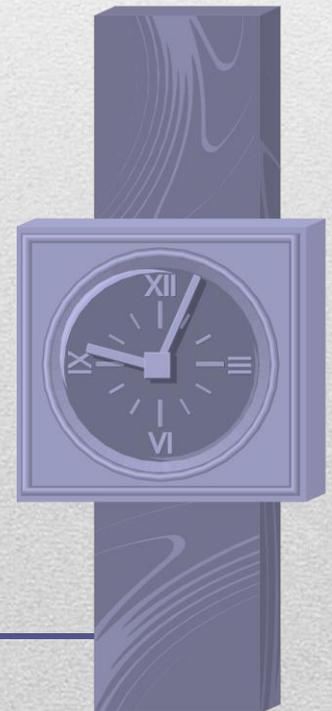


Commingling

- Supplanting is **NOT** allowed!!
- Supplanting does not apply to private non-profits unless they are using state-appropriated funds
- Supplanting is replacing state and local funds appropriated for a particular purpose with federal grants funds
- If you replace a grant position with a current employee, you must backfill their position and complete an A-14 Form

Supplanting

- Only actual salaries, wages, and benefits may be paid with grant funds
- Accurate time and attendance records are required for all personnel whose salary is charged to the project
- **If an employee is paid less than 100% from grant funds – they must track time separately and reconcile timesheets**
- The time spent on project must be clearly coded



Expenditures – Personnel

- Expenditures Requiring Prior Approval:
 - Equipment
 - Consultants
 - Out-of-state travel
- Non-Allowable Expenditures
 - Review Financial Guide
- If an expenditure is **NOT** in your approved budget categories, you **MUST** get prior approval



Expenditures

- **Due the 15th of EVERY month, even if you are requesting no funds**
 - If the 15th is a Saturday, reports are due at 5 p.m. on Friday
 - If the 15th is a Sunday, reports are due at 5 p.m. on Monday
- **Must submit** in order to receive grant funds
 - Incorrect A-3s result in a denied request
 - Incorrect reports require correction
 - Late reports and corrected reports are processed the following month
- **Download** from the **Subgrantee Toolbox** on the **DAC website**

A-3 Request for Funds

1. Download the form and save it
2. Check the grant name
3. Fill in your information:
 - Date
 - Agency name
 - Address
 - City, State, and Zip
 - Subgrant Number
 - The number we have assigned
 - Telephone number
 - Tax ID
 - Project Title

Linked Document: All of this information will carry over to new tabs

SUZANNE McCLAIN ATWOOD
Executive Coordinator

TRENT H. BAGGETT
Assistant Executive Coordinator



STATE OF OKLAHOMA
DISTRICT ATTORNEYS COUNCIL
421 N.W. 13TH STREET, SUITE 200 OKLAHOMA CITY, OKLAHOMA 73103

EXECUTIVE 405-264-5000 FAX 405-264-5099	FISCAL 405-264-5004 405-264-5099	GRANTS 405-264-5008 405-264-5095	VICTIMS 405-264-5006 405-264-5097	MIS 405-264-5002 405-264-5099
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**Request for Funds
Form A-3**

Please check applicable grant program

AGI
 BYRNE
 JAG
 NCHIP
 NFSIA
 PSN
 RSAT
 VAWA

Name and Mailing Address of Subgrantee: _____ Subgrant Number: _____ Date: _____

_____ Telephone Number: _____
Federal Tax ID No.: _____

Project Title: _____

FEDERAL CASH REQUEST

1 Federal Award	\$ _____
2 Amount Requested and Received Before Today	\$ _____
3 Requested in Transit (not yet received)	\$ _____
4 Amount of This Request	\$ _____
5 Total Lines 2, 3, and 4	\$ 0.00
6 Federal Balance Remaining to Draw (1 minus 5)	\$ 0.00

FEDERAL CASH ON HAND BALANCE

1 Total Federal Funds Received to Date	\$ 0.00
2 Total Federal Funds Expended Through _____ (Date)	\$ _____
3 Balance On Hand (line 1 minus 2)	\$ 0.00

Current Month Projected Expenditures \$ _____

I certify that the above figures are correct. Failure to provide correct figures or to fully complete this form will require the return of this request and will cause a delay in funding.

Signature of Authorized Official

Date

FOR DAC USE ONLY

APPROVAL \$ _____

M. DeLynn Fudge
Director of Federal Grants

Claim Number: _____

Date



A-3 Request for Funds

- Sign and date
- FAX to DAC Grants Division
- 405.264.5095

SUZANNE McCLAIN ATWOOD
Executive Coordinator

TRENT H. BAGGETT
Assistant Executive Coordinator

STATE OF OKLAHOMA
DISTRICT ATTORNEYS COUNCIL
421 N.W. 13TH STREET, SUITE 200, OKLAHOMA CITY, OKLAHOMA 73108

EXECUTIVE 405-264-5000
FAX 405-264-5099

FISCAL 405-264-5004
405-264-5099

GRANTS 405-264-5008
405-264-5095

VIC 405-264-5008
405-264-5095

**Request for Funds
Form A-3**

Please check applicable grant program

AGI BYRNE JAG NCHIP NFSIA PSN RSAT VAWA

Name and Mailing Address of Subgrantee: _____ Subgrant Number: _____ Date: _____

 _____ Telephone Number: _____
 Federal Tax ID No.: _____

Project Title: _____

FEDERAL CASH REQUEST

1 Federal Award \$ _____
 2 Amount Requested and Received Before Today \$ _____
 3 Requested in Transit (not yet received) \$ _____
 4 Amount of This Request \$ _____
 5 Total Lines 2, 3, and 4 \$ 0.00
 6 Federal Balance Remaining to Draw (1 minus 5) \$ 0.00

FEDERAL CASH ON HAND BALANCE

1 Total Federal Funds Received to Date \$ 0.00
 2 Total Federal Funds Expended Through _____
 (Date)
 3 Balance On Hand (line 1 minus 2) \$ 0.00

Current Month Projected Expenditures \$ _____

I certify that the above figures are correct. Failure to provide correct figures or to fully complete this form will require the return of this request and will cause a delay in funding.

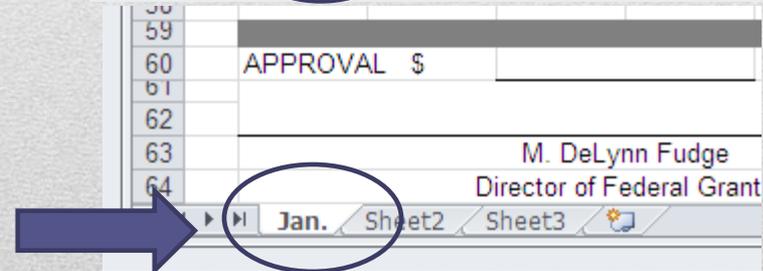
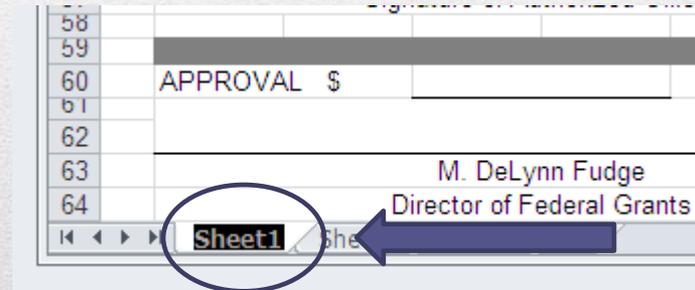
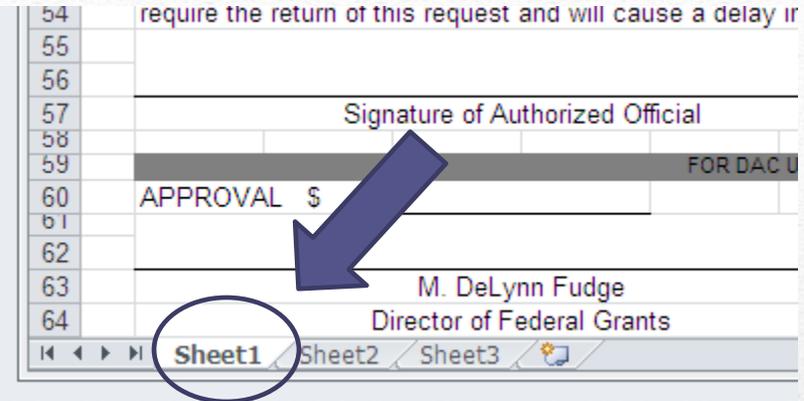
Signature of Authorized Official Date _____

FOR DAC USE ONLY
APPROVAL \$ _____ Claim Number: _____

M. DeLynn Fudge Date _____
Director of Federal Grants

A-3 Request for Funds

- SAVE the A-3 on your hard drive
- Name tabs what you want
- Use a new tab every month!



A-3 Request for Funds

- Most Common Mistakes
 - Typos
 - Arithmetic mistakes
 - Forgetting the signature
 - Faxing to the wrong fax number



A-3 Request for Funds



QUESTIONS

- Due Dates are **5 p.m.** on the following dates:
 - January through March **April 15, 2012**
 - April through June **July 15, 2012**
 - July through September **October 15, 2012**
 - September through December **January 15, 2013**
 - Final Report **April 15, 2013**
 - If funds encumbered prior to 12/31/12 are paid after Jan. 1
 - If the due date is a Saturday, reports are due Friday
 - If the due date us a Sunday, reports are due Monday

A-7 Quarterly Reports

- Download the form and save it
- Click 1st Quarter
- Check the grant name
- Fill in your information:
 - Agency name
 - Address
 - City, State, and Zip
 - Subgrant Number
 - The number we have assigned and identical to your award
 - Award Period
 - Award Amount
- Enter Budget Categories
- This information will automatically copy to the next quarter

6

**QUARTERLY EXPENDITURES AND FINANCIAL STATUS REPORT
FORM A-7**

Check applicable grant program: BYNME IASAT INCHIP NFSIA PSNE PSNN PSNW JAG AGE AGN AGW VAWA

Name and Address of Subgrantee: _____

Subgrant Number: _____

Award Period (month, day, year): _____

Type of Report: Progress Final

Federal Award Status

Award Amount \$ _____

Cash Received \$ _____

Balance \$ 0.00

This form must be received by DAC on the 15th of the month following the end of the quarter

Quarter Ending: March 31 September 30 June 30 December 31

Budget Category	Approved Budget		Expenditures Beginning of Qtr.		Expenditures this Quarter		Expenditures To Date		Unpaid Obligations	
	Grant	Match	Grant	Match	Grant	Match	Grant	Match	Grant	Match
Personnel	0.00	0.00	0.00	0.00			0.00	0.00		
Benefits	0.00	0.00	0.00	0.00			0.00	0.00		
Equipment	0.00	0.00	0.00	0.00			0.00	0.00		
Travel	0.00	0.00	0.00	0.00			0.00	0.00		
Supplies / Operating Exp.	0.00	0.00	0.00	0.00			0.00	0.00		
Contractor / Consultants	0.00	0.00	0.00	0.00			0.00	0.00		
Facilities / Equip. Rental	0.00	0.00	0.00	0.00			0.00	0.00		
Confidential Funds	0.00	0.00	0.00	0.00			0.00	0.00		
Other			0.00	0.00			0.00	0.00		
TOTAL	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00

Cash Balance of Federal Funds

Cash Balance Beginning of Quarter \$ 0.00

Receipts During Quarter \$ 0.00

Expenditures During Quarter \$ 0.00

Cash Balance End of Quarter \$ 0.00

Cash Balance of Confidential Funds (Drug Task Force Use Only)

Cash Balance Beginning of Quarter \$ 0.00

Advances to Officer During Quarter \$ 0.00

Expenditures by Officer During Quarter \$ 0.00

Cash Balance End of Quarter \$ 0.00

Revised 7/1/09

CERTIFICATION: I certify that to the best of my knowledge that this report is correct and all expenditures and unpaid obligations are for the purposes set forth in the contract award.

Report Prepared By _____ Date _____ Phone _____ Fax A-7 _____

Cash Balance of Federal Funds

Cash Balance Beginning of Quarter \$ 0.00

Receipts During Quarter \$ 0.00

1st Quarter 2nd Quarter 3rd Quarter 4th Quarter

A-7 Quarterly Reports - Prep

- Select Type of Report
- Select the Quarter
- Fill in Cash Received through end of Quarter
- Fill in Expenditures through the end of the Quarter
- Fill in Receipts During Quarter
 - What we have sent you

QUARTERLY EXPENDITURES AND FINANCIAL STATUS REPORT
FORM A-7

Check applicable grant program:
 BYRNE JSAT NCHP NPSIA PSNE PSNN PSNW JAG AGE AGN AGW VAWA

Name and Address of Subgrantee: _____

Type of Report: **1**
 Progress
 Final

Subgrant Number: _____

Award Period (month, day, year):
 From _____ To _____

Federal Award Status **3**

Award Amount \$ _____

Cash Received \$ _____

Balance \$ _____ 0.00

This form must be received by DAC on the 15th of the month following the end of the quarter

Quarter Ending:
 Check appropriate quarter:
 March 31 September 30 **2**
 June 30 December 31

Budget Category	Approved Budget		Expenditures Beginning of Qtr.		Expenditures this quarter		Expenditures To Date		Unpaid Obligations	
	Grant	Match	Grant	Match	Grant	Match	Grant	Match	Grant	Match
Personnel	0.00	0.00	0.00	0.00			0.00	0.00		
Benefits	0.00	0.00	0.00	0.00			0.00	0.00		
Equipment	0.00	0.00	0.00	0.00			0.00	0.00		
Travel	0.00	0.00	0.00	0.00			0.00	0.00		
Supplies / Operating Exp.	0.00	0.00	0.00	0.00			0.00	0.00		
Contractor / Consultants	0.00	0.00	0.00	0.00			0.00	0.00		
Facilities / Equip. Rental	0.00	0.00	0.00	0.00			0.00	0.00		
Confidential Funds	0.00	0.00	0.00	0.00			0.00	0.00		
Other			0.00	0.00			0.00	0.00		
TOTAL	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00

Cash Balance of Federal Funds

Cash Balance Beginning of Quarter \$ _____ 0.00

Receipts During Quarter \$ _____ 0.00

Expenditures During Quarter \$ _____ 0.00

Cash Balance End of Quarter \$ _____ 0.00

Cash Balance of Confidential Funds (Drug Task Force Use Only)

Cash Balance Beginning of Quarter \$ _____ 0.00

Advances to Officer During Quarter \$ _____ 0.00

Expenditures by Officer During Quarter \$ _____ 0.00

Cash Balance End of Quarter \$ _____ 0.00

Revised 7/1/09

CERTIFICATION: I certify that to the best of my knowledge that this report is correct and all expenditures and unpaid obligations are for the purposes set forth in the contract award.

Report Prepared By _____ Date _____ Phone _____ Fax _____ A-7

A-7 Quarterly Reports - Completion

QUARTERLY EXPENDITURES AND FINANCIAL STATUS REPORT
FORM A-7

Check applicable grant program:

BYRNE JSAT INCHIP NPSIA PSNE PSNN PSNW JAG AGE AGN AGW VAWA

Name and Address of Subgrantee: _____

Type of Report: Progress Final

Subgrant Number: _____
 Award Period (month, day, year): _____
 From _____ To _____

Federal Award Status

Award Amount \$ _____

Cash Received \$ _____

Balance \$ _____ 0.00

This form must be received by DAC on the 15th of the month following the end of the quarter

Quarter Ending:

Check appropriate quarter:

March 31 September 30

June 30 December 31

Budget Category	Approved Budget		Beg. of Qtr. Grant	Expenditures this Quarter	Expenditures To Date		Unpaid Obligations		
	Grant	Match			Grant	Match	Grant	Match	Grant
Personnel	0.00	0.00	0.00						
Benefits	0.00	0.00	0.00			0.00	0.00		
Equipment	0.00	0.00	0.00			0.00	0.00		
Travel	0.00	0.00	0.00			0.00	0.00		
Supplies / Operating Exp.	0.00	0.00	0.00			0.00	0.00		
Contractor / Consultants	0.00	0.00	0.00			0.00	0.00		
Facilities / Equip. Rental	0.00	0.00	0.00			0.00	0.00		
Confidential Funds	0.00	0.00	0.00			0.00	0.00		
Other			0.00	0.00		0.00	0.00		
TOTAL	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00

Cash Balance of Federal Funds

Cash Balance Beginning of Quarter \$ _____ 0.00

Receipts During Quarter \$ _____ 0.00

Expenditures During Quarter \$ _____ 0.00

Cash Balance End of Quarter \$ _____ 0.00

Cash Balance of Confidential Funds (Drug Task Force Use Only)

Cash Balance Beginning of Quarter \$ _____ 0.00

Advances to Officer During Quarter \$ _____ 0.00

Expenditures by Officer During Quarter \$ _____ 0.00

Cash Balance End of Quarter \$ _____ 0.00

CERTIFICATION: I certify that to the best of my knowledge that this report is correct and all expenditures and unpaid obligations are for the purposes set forth in the contract award.

Report Prepared By _____ Date _____ Phone _____ Fax _____ A-7

Cash Received - Expenditures To Date = Cash Balance End of Quarter

A-7 Quarterly Reports – Check It

- Sign
- Date
- Phone numbers
- Fax to DAC
- Grants
- 405.264.5095

**QUARTERLY EXPENDITURES AND FINANCIAL STATUS REPORT
FORM A-7**

Check applicable grant program: BYRME ASAT NCHIP NFSIA PSNE PSNN PSNW JAG AGE AGN AGW YAWA

Name and Address of Subgrantee: _____

Type of Report: Progress Final

Subgrant Number: _____

Award Period (month, day, year): From _____ To _____

This form must be received by DAC on the 15th of the month following the end of the quarter

Quarter Ending: Check appropriate quarter:

March 31 September 30

June 30 December 31

Budget Category	Approved Budget		Expenditures Beginning of Qtr.		Expenditures this Quarter		Expenditures To Date		Unpaid Obligations	
	Grant	Match	Grant	Match	Grant	Match	Grant	Match	Grant	Match
Personnel	0.00	0.00	0.00	0.00			0.00	0.00		
Benefits	0.00	0.00	0.00	0.00			0.00	0.00		
Equipment	0.00	0.00	0.00	0.00			0.00	0.00		
Travel	0.00	0.00	0.00	0.00			0.00	0.00		
Supplies / Operating Exp.	0.00	0.00	0.00	0.00			0.00	0.00		
Contractor / Consultants	0.00	0.00	0.00	0.00			0.00	0.00		
Facilities / Equip. Rental	0.00	0.00	0.00	0.00			0.00	0.00		
Confidential Funds	0.00	0.00	0.00	0.00			0.00	0.00		
Other			0.00	0.00			0.00	0.00		
TOTAL	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00

Cash Balance of Federal Funds

Cash Balance Beginning of Quarter \$ 0.00

Receipts During Quarter \$ 0.00

Expenditures During Quarter \$ 0.00

Cash Balance End of Quarter \$ 0.00

Revised 7/1/09

Cash Balance of Confidential Funds (Drug Task Force Use Only)

Cash Balance Beginning of Quarter \$ 0.00

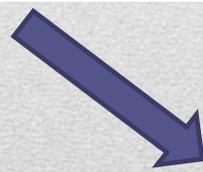
Advances to Officer During Quarter \$ 0.00

Expenditures by Officer During Quarter \$ 0.00

Cash Balance End of Quarter \$ 0.00

CERTIFICATION: I certify that to the best of my knowledge that this report is correct and all expenditures and unpaid obligations are for the purposes set forth in the contract award.

Report Prepared By _____ Date _____ Phone _____ Fax A-7 _____



Receipts During Quarter \$ 4,800.00

Expenditures During Quarter \$ 5,000.00

Cash Balance End of Quarter \$ -200.00

CERTIFICATION: I certify that to the best of my knowledge that this report is correct and all expenditures and unpaid obligations are for the purposes set forth in the contract award.

Report Prepared By _____

A-7 Quarterly Reports

- Be sure to click the correct tab for your next report

2	Cash Balance Beginning of Quarter	\$	-200.00
3	Receipts During Quarter	\$	5,000.00
4	Expenditures During Quarter	\$	5,000.00
5	Cash Balance End of Quarter	\$	-200.00
6			
7			

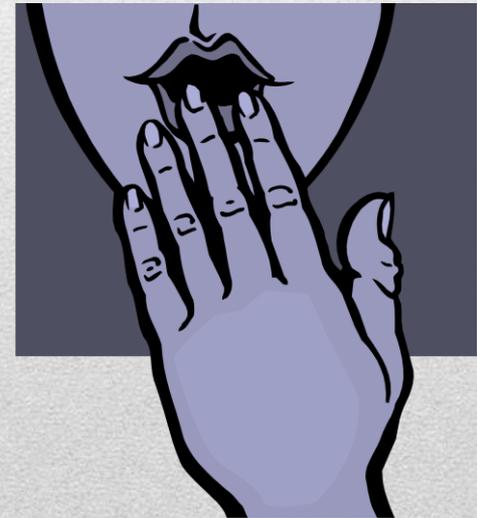
Navigation: 1st Quarter | **2nd Quarter** | 3rd Quarter



A-7 Quarterly Reports

- **Most Common Mistakes**

- Not filling in the budget categories at the beginning of the year
- Attempting to use the **same tab** for every quarter
- **Typos**
- Arithmetic mistakes
- **Forgetting** the signature
- Faxing to the **wrong fax number**



A-7 Quarterly Reports

- Budget Revisions are possible
 - Less than 10% of the TOTAL award and within approved categories – no requirements
 - More than 10% of the total award or outside of approved categories must get prior approval
 - Submit an A-2 Budget Revision/Extension
 - Provide new budget
 - Provide narrative
 - Provide explanation for the revision
- If the revision changes the scope of the project – it requires VAWA Board approval
- Submission Deadline: **December 1, 2011**

Budget Revisions



QUESTIONS



THE MEETING IN THE MIDDLE

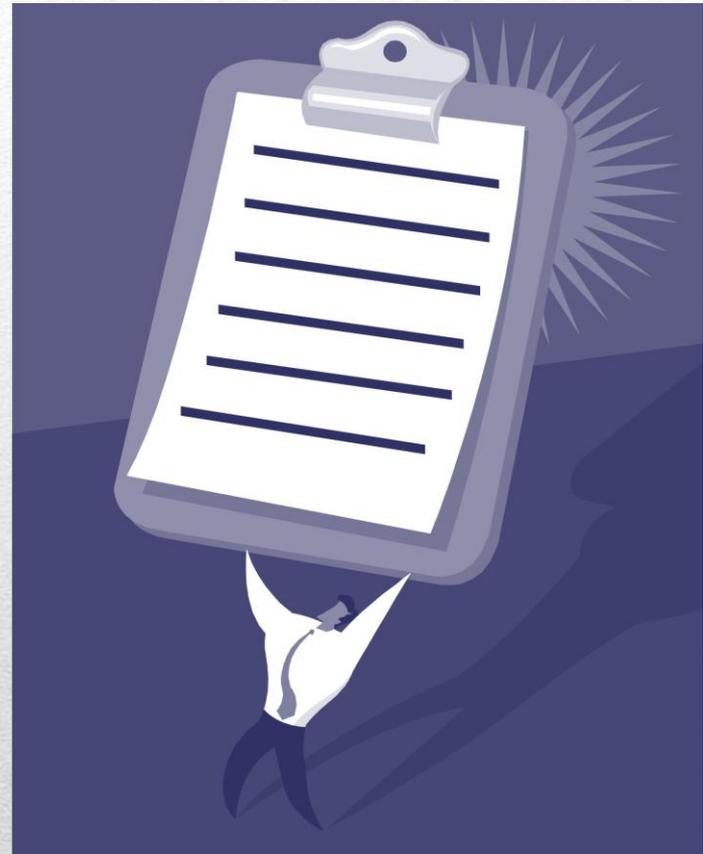
Site Visits

- Monitoring function
- Assist subgrantees in implementing programs
- Programmatic and fiscal accountability
- Program Specialist required to visit 50% of all subgrantees
- Who gets a visit:
 - New subgrantees
 - Any subgrantee who was not visited the previous year
 - High-risk subgrantees:
 - New PD of FO
 - More than two late reports
 - Failure to make progress on goals and objectives
 - Corrective actions in previous Site Visit



Site Visits

- Project Director
- Fiscal Officer
 - CPAs
 - Agency staff
- Grant-Paid Staff
 - ADAs
 - Advocates
 - Officers
 - Coordinators
 - Etc.



Site Visits

- **STRONGLY** recommend that subgrantees are **prepared** for the site visit
- DAC Grants staff will contact the Project Director to set a date and time for the visit
- Dates are usually scheduled a month or more in advance
- A **confirmation letter** is sent
- A **checklist** is also **sent** in order for subgrantees to **prepare** for the visit
- You know before the Program Specialist arrives **EXACTLY** what is **required** for the **visit**



Site Visits

- What is reviewed?

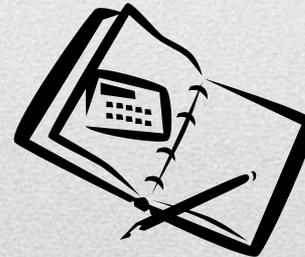
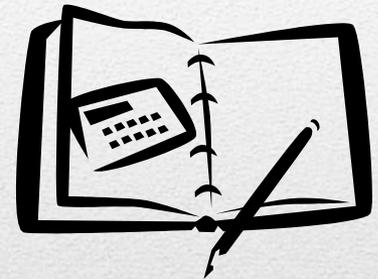
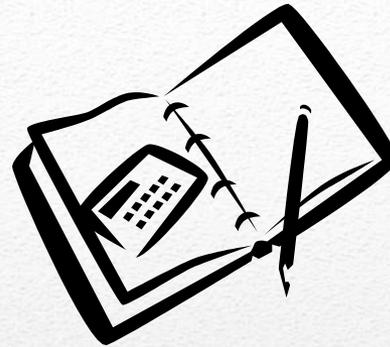
- Records Maintenance

- Grant Notebook
- Award documents

- Financial Records

- General Ledger MUST be ready and available
- Grant Ledger MUST be ready and available
- Invoices
- Timesheets, I-9s
- Travel
- Receipts

- Drug-Free Workplace Policy



Site Visits – Be Prepared

- Goals and Objectives
 - **MUST** have an up-to-date report on the progress
 - **MUST** have up-to-date statistics
 - Gather them in advance of the visit
- Tracking statistics
 - Be prepared to **discuss** what your agency does to **track** the **statistics** for the grant



Site Visits – Be Prepared

- A Site Visit Report is prepared and sent
- Corrective Actions
 - Issues that need to be addressed and corrected
 - Deadlines are given



Site Visits – The Aftermath



QUESTIONS



GRANT COMPLIANCE

Requirements & Consequences

- Compliance is **REQUIRED** throughout the grant from the award documents to the final close-out report
- **What it means:**
 - Following state and federal laws, rules, and regulations
 - Meeting ALL deadlines
 - Fiscal accountability
 - Achieving goals and objectives



Compliance

- **Used** during the grant cycle to address **non-compliance**
- Used for **late** or **incorrect** programmatic and/or fiscal **reports**
- **EXAMPLES:**
 - Late or incorrect A-7
 - Failure to submit a Muskie or S-2 Report on time
 - Not responding to Corrective Actions from Site Visit Reports
 - Other times when needed
- **Drawdowns are not processed** when a DH is in place
- **Repeated Draw Holds are bad**

Draw Hold

- Used as a look at the entire grant year
- **Tie back to the high-risk** designation
- Compiled and **provided** to the **VAWA Board** when making **funding** decisions
- Report Contents:
 - Late/incorrect award documents
 - Late/incorrect A-3s and A-7s
 - Late/incorrect Muskie Reports or V-2 Reports
 - Corrective Actions
 - Draw Holds

Compliance Reports

- What's all the fuss?
 - Good Things:
 - Could receive waivers from future trainings
 - Bad Things:
 - Could have a negative impact on future funding
 - Could result in paying back money
 - Could result in the termination of your grant



Compliance

- The VAWA Board has approved the addition of two new Special Conditions
 - Warning
 - Death Penalty

New Compliance Conditions

- Warning Special Condition
 - Some agencies received them on their 2011 awards
 - Three or more late/incorrect reports on 2009 and 2010 grants
 - If you have three or more late/incorrect reports in a grant year, your next grant award will receive this Warning Special Condition
 - The Warning Special Condition states that three or more late or incorrect reports on the new award will result in restrictions on your next grant award
- All subgrantees that have three or more late/incorrect reports in 2011 **WILL** have this Warning Special Condition added to any renewal funds

New Compliance Conditions

- **Death Penalty Special Condition**

- Once you have received the Warning – if, during the warning year, you have three or more late or incorrect reports, your next grant award will receive the Death Penalty
- The Death Penalty states that if you have two late/incorrect reports in the new grant year – your grant terminates immediately
- The warning year gives you a year to clean up your issues
- The VAWA Board wants to remove the Warning Special Condition

Death Penalty





QUESTIONS



WRAPPING IT UP

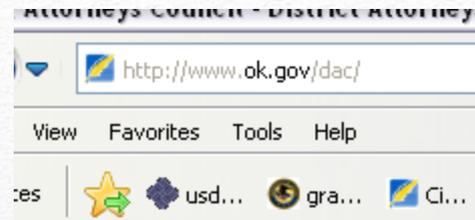
Close-Out

- If you have planned well from the beginning, the end should be fairly painless
- Close-Out letters go out in December
- They look like the letter that comes with award documents
 - They explain everything that needs to be done to close out your grant
 - Provides deadlines for each item
- Audits
 - If you expend more than \$500,000 in federal awards (all sources) – your agency is required to do an A-133 audit
 - If your agency does not, you still have to have records available if needed by officials
 - Copies of audits should be submitted to DAC no later than 9 months after the close of the fiscal year

Close-Out

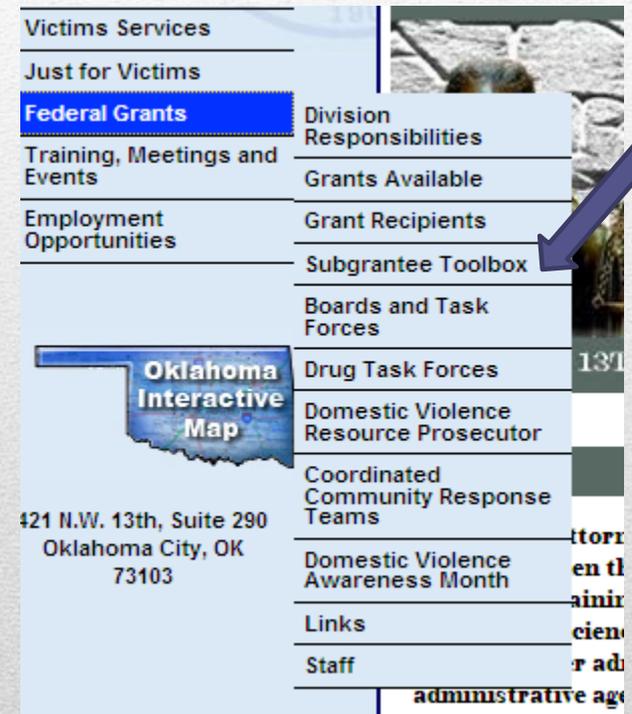
- DAC website:

- www.ok.gov/dac



- Subgrantee Toolbox

- Administrative Guides
- Project Forms
- Blank Budget Forms
- Annual Reports & Plans
- Other helpful links



DAC Federal Grants Division

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DAC Federal Grants Division



QUESTIONS
