

# 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**

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- 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**

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- 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**

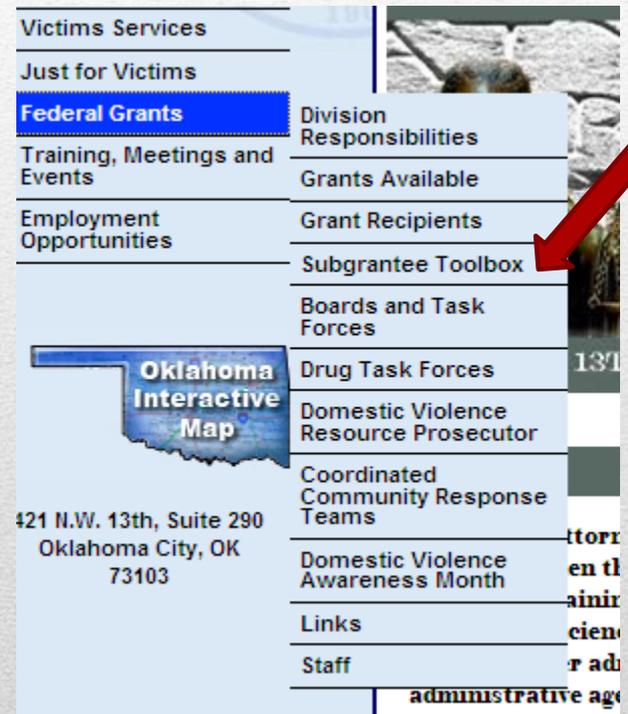
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- DAC website:

- [www.ok.gov/dac](http://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**

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- Purpose

- Promotes a coordinated multidisciplinary approach to improving the criminal justice system's response to crimes against women
- 14 different purpose areas
- Encourages the development and strengthening of effective strategies in law enforcement and prosecution
- Encourages the strengthening of victim services



# S.T.O.P. VAWA

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- Allocation Requirements
  - Victim Services = 30%
    - 10% must go to culturally-specific programs
  - Law Enforcement = 25%
  - Prosecution = 25%
  - Courts = 5%
  - Discretionary = 15%

**S.T.O.P. VAWA**

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- 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
- Approves the State Implementation Plan



# S.T.O.P. VAWA BOARD

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- Chief Executive Officer
- Project Director
- Fiscal Officer
- Fiscal Officer is the person who **ACTUALLY COMPLETES** the financial reports



# Personnel Requirements

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- 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

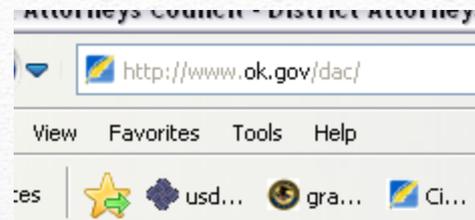


# Personnel Requirements

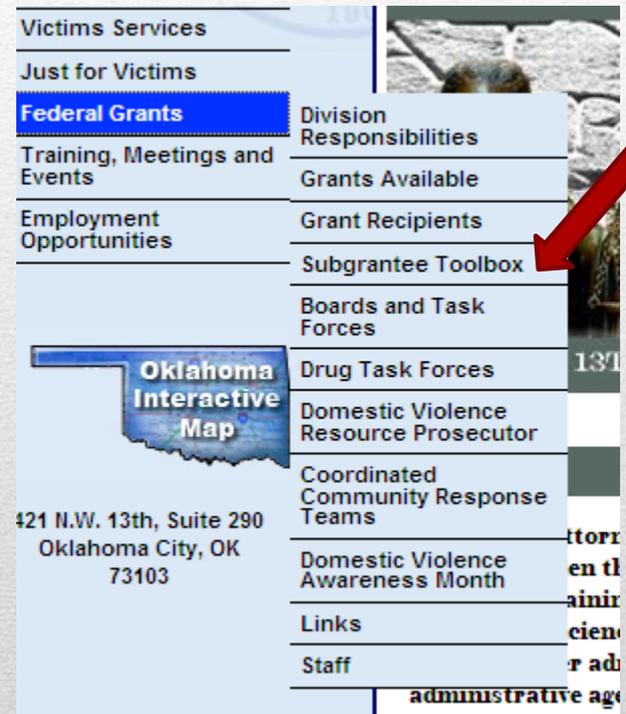
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- DAC website:

- [www.ok.gov/dac](http://www.ok.gov/dac)



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



# Financial/Administrative Guide



# **FIRST THINGS FIRST**

Award Documents

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- 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

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- Award packets were sent in November
- All Award Packet contents need to be returned to DAC
  - Award Notice – notarized!
  - Special Conditions



# Award Documents

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- 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

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- 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**

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- The subgrantee assures that S.T.O.P. VAWA 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**

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- 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**

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- 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**

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- 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**

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- 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**

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- 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](mailto:oig.hotline@usdoj.gov)
  - Hotline: (English and Spanish) 800.869.4499

## **Special Conditions – Fraud & Abuse**

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- 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**

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- 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**

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- 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**

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- Grant funds **cannot** be used to **support** the development or presentation of domestic violence, sexual assault, dating violence, and/or stalking **curriculum for primary or secondary schools**
- Subgrantees agree that grant funds will not be used to teach primary or secondary students from already existing curriculum

## **Special Conditions – New Federal**

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- The subgrantee agrees that grant funds **will not** be used to support the **purchase of law enforcement equipment**, including uniforms, safety vests, shields, weapons, bullets, and armory

## **Special Conditions – New Federal**

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- The subgrantee agrees that grant funds **will not** be used to **support chemical dependency or alcohol abuse programs** that are not an integral part of a court-mandated batterer intervention program.

## **Special Conditions – New Federal**

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- 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**

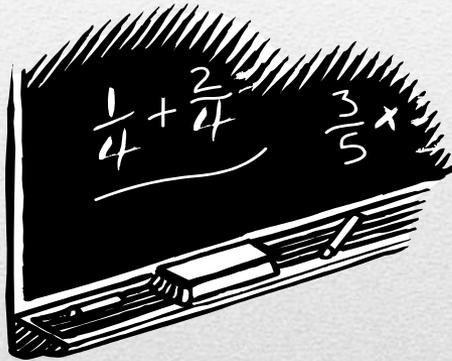
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- Subgrantee agrees that grant **funds** will **not** be **used** to conduct public **awareness** or community **education** campaigns or related activities
- Grant funds may be **used** to support, inform, and **outreach to victims** about available services

## **Special Conditions – New Federal**

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**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**

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- 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**

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- 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**

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- 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**

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- 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
- DAC Staff and VAWA Board use only

**High-Risk**

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- More Award Documents:
  - Lobbying, Debarment, Suspension, etc., Certifications
  - Standard Assurances



# Award Documents

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- 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**

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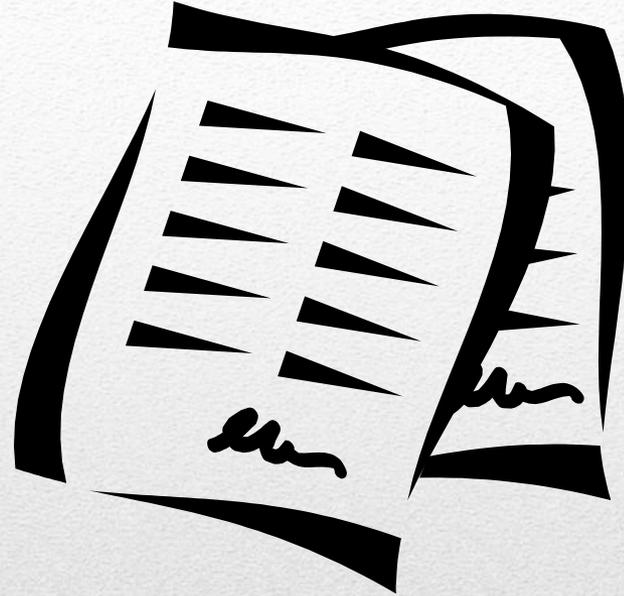
- As a subgrantee, you are required to maintain a drug-free workplace
- A Drug-Free Workplace Policy **must be posted** in a location where all employees have access to it



## Standard Assurances – Drug Free

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- The A-Team
  - Form A-1
  - Form A-4
  - Form A-10
  - Form A-12
  - Form A-13
- Require signatures and information!



# Award Documents

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- 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 (Similar to A-4)
  - Completed and signed by CEO

# Award Documents

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

Historical Records Available:  ▾

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

**DUNS:** 044508627

**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

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- 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
- Do **NOT** call to argue “but they have always been this way” or “I didn’t have to change them last year”

## **Award Documents – G’n’O**

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- 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**

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

## **Award Documents – EEOP Certification**

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- 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

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- 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**

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# QUESTIONS

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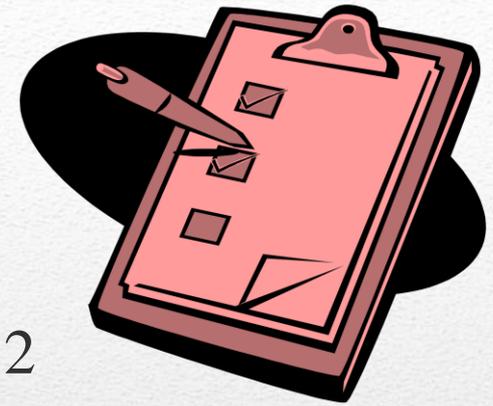


# **GETTING STARTED**

Grant Implementation

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- 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

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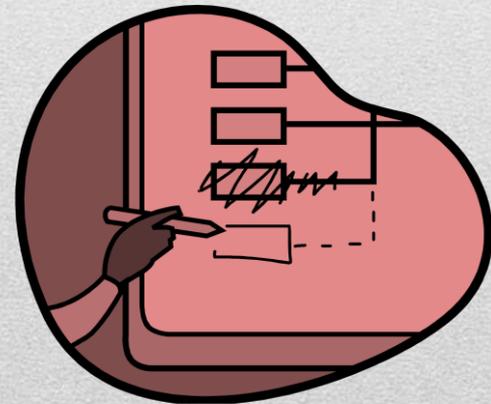
- **REQUIRED** to be operational within 60 days of start date – March 1, 2012
- If there is a delay, you must send a letter to DeLynn Fudge, Director of Federal Programs, explaining the delay
- If your project is not operational in 90 days, a second letter must be sent



## Project Information

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- 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

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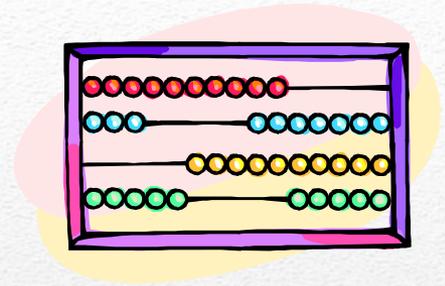
- Programmatic reports are required for all grant projects
- Track the progress and effectiveness of the grant program
- Two programmatic reports are required:
  - Muskie Reports (Federal)
  - V-2 Semi-Annual Progress Report (DAC)
- The beginning of the grant is the time to decide how you will collect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



# Programmatic Reports

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- 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

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- 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



# **V-2 Semi-Annual Progress Report**

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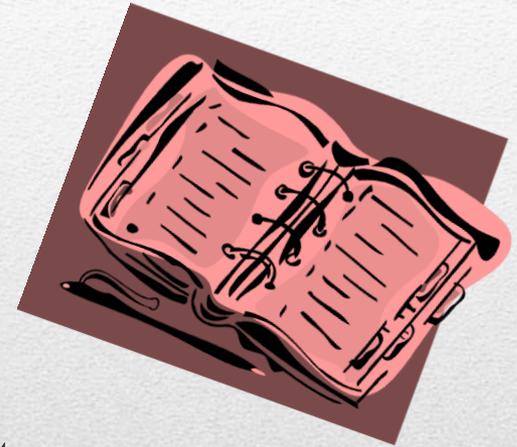
- The beginning of the grant is also the best time to decide how you will organize your grant records
- Keep all records – fiscal and programmatic – in one accessible file or notebook
- Grant records should be kept in one location
- Use a 3-ring binder, records file, or a system of your choice



# Record Organization

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- 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

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# QUESTIONS

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# GETTING STARTED

Finances

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- Commingling is **NOT** allowed!!
- **Each** grant must be accounted for separately
- Grants must be accounted for separately from all other money
- VAWA 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

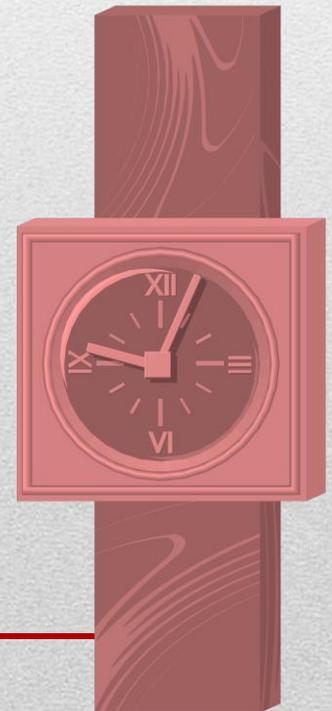
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- Supplanting is **NOT** allowed!!
- Supplanting does not apply to private non-profits unless they are using state-appropriated funds
- Supplanting is replacing state and local funds appropriated for a particular purpose with federal grants funds
-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

# Supplanting

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- 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**

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- 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

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- Due the **15<sup>th</sup>** of **EVERY month**, even if you are requesting no funds
  - If the 15<sup>th</sup> is a Saturday, reports are due at 5 p.m. on Friday
  - If the 15<sup>th</sup> 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**

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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



1. Total amount of funds received
2. Total amount of funds expended through:
  - The date is your choice, as long as the amount is accurate
3. Balance on hand
  - 1 minus 2
  - Can be negative
4. Projected Expenditures
  - Next 30 days
  - This + cash on hand = your request in 4 at the top

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   
  NPSIA   
  PSN   
  RSAT   
  VAWA

Name and Mailing Address of Subgrantee: \_\_\_\_\_ Subgrant Number: \_\_\_\_\_ Date: \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_ Telephone Number: \_\_\_\_\_  
Federal Tax ID No.: \_\_\_\_\_

Project Title: \_\_\_\_\_

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**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

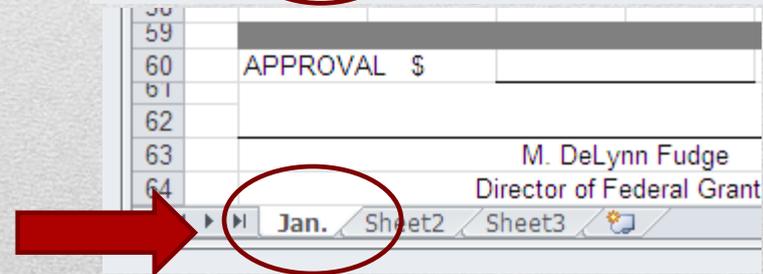
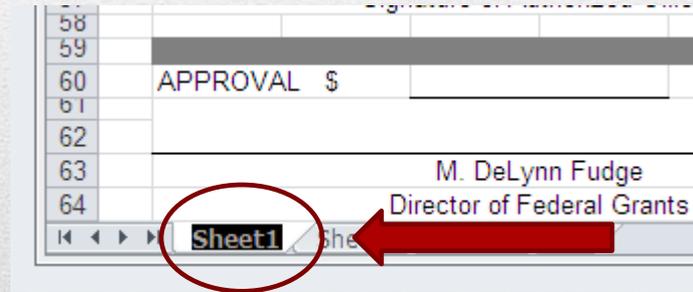
APPROVAL \$ _____	Claim Number: _____
M. DeLynn Fudge Director of Federal Grants	_____ Date

3

# A-3 Request for Funds



- SAVE the A-3 on your hard drive
- Name tabs what you want
- Be sure to 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**

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# QUESTIONS

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- 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**

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- Download the form and save it
- 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

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

Check applicable grant program:  BYRNE  ASAT  NCHIP  NFSIA  PSNE  PSNN  PSNW  JAG  AGE  AGN  AGW  VAWA

Name and Address of Subgrantee: \_\_\_\_\_

Subgrant Number: \_\_\_\_\_

Type of Report:  
 Progress  
 Final

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:  
 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			0.00	0.00		
<b>TOTAL</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>

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

**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    NCHRP    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: **2**

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		
<b>TOTAL</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>

**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		Beginning of Qtr. Grant	Expenditures this Quarter Grant	Expenditures this Quarter Match	Expenditures To Date		Unpaid Obligations	
	Grant	Match				Grant	Match	Grant	Match
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		
<b>TOTAL</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>

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:  BYRNE  ASAT  NCHIP  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		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		
<b>TOTAL</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>	<b>0.00</b>

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			

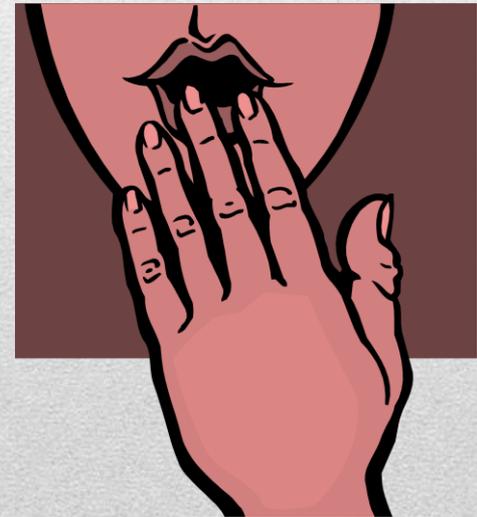
Navigation: 1st Quarter | **2nd Quarter** | 3rd Quarter



## 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 sometimes allowed
  - 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, 2012**

# Budget Revisions

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# QUESTIONS

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# **THE MEETING IN THE MIDDLE**

Site Visits

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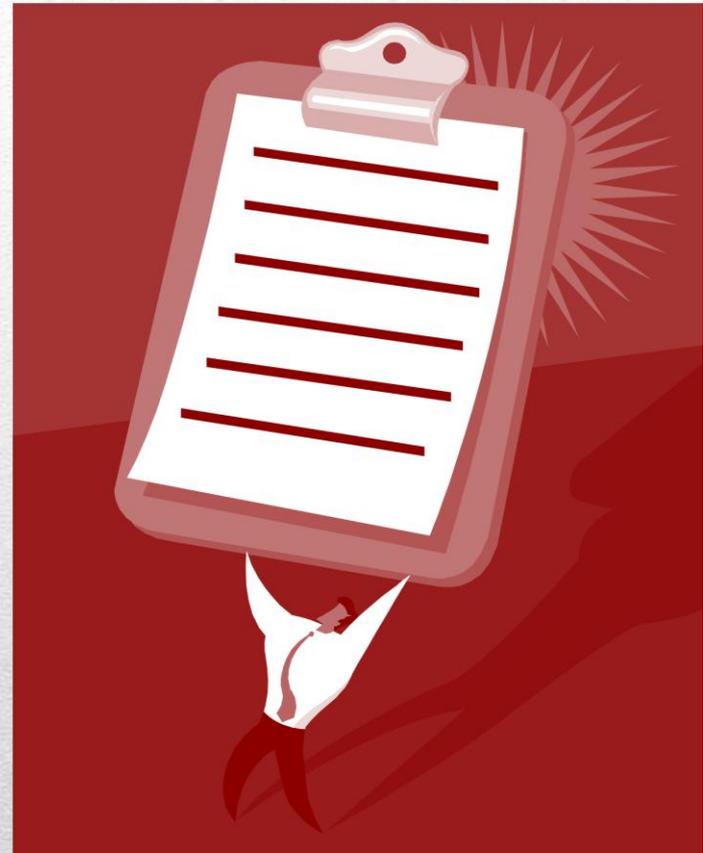
- Monitoring function
- Assist subgrantees in implementing programs
- Programmatic and fiscal accountability
- Program Specialist required to visit 50% of all subgrantees
- Who gets a visit:
  - New subgrantees
  - Any subgrantee who was not visited the previous year
  - High-risk subgrantees:
    - 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**



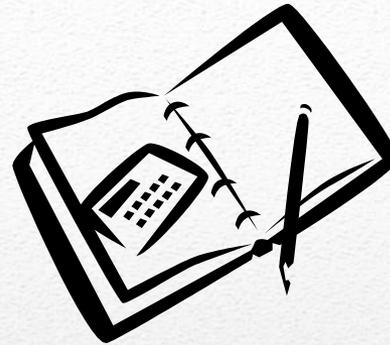
## Site Visits

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- What is reviewed?

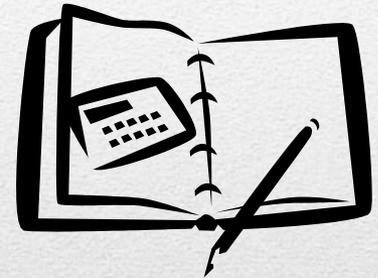
- Records Maintenance

- Grant Notebook
- Award documents

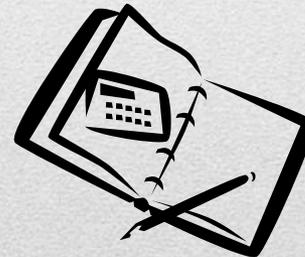


- Financial Records

- 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

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- 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**

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# QUESTIONS

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# **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 V-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

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

## **New Compliance Conditions**

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- 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

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- **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

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# QUESTIONS

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# **WRAPPING IT UP**

Close-Out

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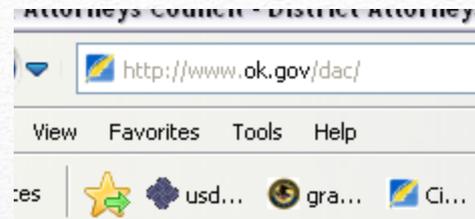
- If you have planned well from the beginning, the end should be fairly painless
- Close-Out letters go out in December
- They look like the letter that comes with award documents
  - They explain everything that needs to be done to close out your grant
  - Provides deadlines for each item
- Audits
  - 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

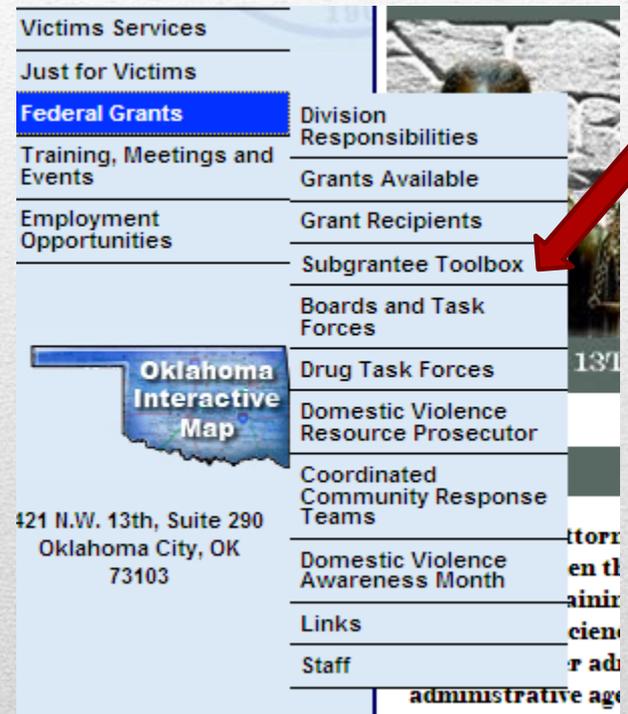
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- DAC website:

- [www.ok.gov/dac](http://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**

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# QUESTIONS

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