



Grant Manual

GRANTEE VERSION

**Kansas Department for Children and Families
Department of Administrative Services
Office of Grants and Contracts
555 S Kansas Avenue, 5th Floor
Topeka, Kansas 66603**

KANSAS DEPARTMENT FOR CHILDREN AND FAMILIES (DCF) GRANT MANUAL

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I. OVERVIEW

DCF MISSION

To protect children and vulnerable adults, promote healthy families, and encourage personal responsibility.

DCF STRATEGIC OBJECTIVES

DCF strategic objectives include strengthening families, safely reducing the number of children in care, empowering older adults and persons with disabilities to make choices about their lives, promoting employment, exercising responsible stewardship of public resources, and building public/private partnerships.

DCF FAMILY SERVICES PROGRAMS

Child Support Services administers child support enforcement services.

Economic and Employment Services administers benefits and employment programs, including supplemental nutrition assistance, temporary assistance for needy families, economic and employment support work, childcare assistance, and low-income energy assistance programs.

Prevention and Protection Services administers child welfare, foster care, adoption, and adult protective services.

Rehabilitation Services administers vocational rehabilitation services, services for people who are blind or visually impaired, services for people who are deaf and hard of hearing, centers for independent living, and disability determination services.

DCF OPERATIONS

Public and Governmental Affairs is dedicated to providing collaborative, innovative and informed public affairs solutions, from strategic brainstorming to ultimate execution. The team promises to create and curate content in an audience-oriented fashion to better serve Kansas children and families. Additionally, we promise to advocate for Kansas children and families by initiating and maintaining open communication with the legislature. The department includes communications, governmental affairs, and constituent services.

Office of Audit Services (OAS) provides the Department for Children and Family with internal auditing and consulting services within the government arena. We are an important resource to every division within DCF. Our job is to conduct audits and reviews designed to provide independent assurance that DCF's principal interests as an organization are being met.

Office of Financial Management (OFM) provides all financial services including budget preparation and execution, accounting, cash management, collections, and financial reporting.

Legal Services provides a wide range of legal services and advice to the Secretary and agency employees related to the mission and programs administered by the agency.

Attorneys in the office provide legal advice to agency administrators, draft administrative regulations, prepare and review testimony and on occasion provide testimony before legislative committees, defend administrative actions before the Office of Administrative Hearings and defend agency actions on judicial review.

Attorneys provide training on legal issues relevant to the work done by the agency and its employees including such things as employment law, HIPPA, and KOSE agreements.

Attorneys review contracts, grants and other legal documents and defend the state, the agency and agency employees in administrative hearings and in state and federal courts.

Office of Information Technology Services helps facilitate the mission of DCF by:

- Maintaining Agency-wide automated information systems
- Establishing and Maintaining Information Architecture
- Providing Project Management
- Providing Business Systems Analysis
- Development of Business Systems
- Testing of Business Systems
- Providing Application Support to Business Users
- Maintaining Agency-wide Voice and Data Communication Network
- Configuring and Maintaining Agency Servers and Local Area Networks
- Procuring and Maintaining Desktop and Mobile Devices
- Providing Telecommunication Support
- Configuring and Maintaining Office Automation Software
- Providing Mainframe Application Support
- Providing Technical Assistance to Users

Administrative Services includes the Office of Grants and Contracts (OGC), which assists in developing Requests for Procurement (RFPs), administering grants and contracts and provides guidance to the agency on a wide variety of topics concerning grantees and vendors. This department also includes Accounts Payable which processes all payments for the agency in accordance with policies. Additionally, the department includes Property Management, which oversees leases of DCF facilities across the state, Procurement, which acquires goods and services for the agency in addition to Background Investigations and Emergency Management. It also supports statewide and out of state travel, purchasing cards and provides other supportive functions for the agency as needed.

Organizational Health and Development enhances the capacity of DCF to provide services for Kansas families through training and staff development.

Some, or all of the program areas within Operations may be involved in the review of grants, contracts and other agreements that are presented through the DCF Concurrence Process.

PURPOSE OF THE MANUAL

DCF has prepared this manual to serve as guidance for those seeking to apply for DCF-funded grant awards. The goal is to provide a summary of DCF grant procedures to ensure there is an awareness of the expectation of judicious administration of all funds according to federal and state statutes and regulations. **The provisions in this manual apply to all DCF grant awards, unless otherwise noted in the Grantee's Notification of Grant Award.**

The DCF awards consist of federal funds, or state funds, or a combination of federal and state funds. Federal guidelines and regulations are followed on all grants awarded by DCF. More detailed information regarding federal and state guidelines can be found in the following: 1) the Notification of Grant Award (NOGA)'s Specific Terms and Conditions, Contractual Provisions (*DA-146a*), and Special Provisions Incorporated By Reference; 2) the Code of Federal Regulations (CFR), including 5 CFR Part 1320, 31 CFR Part 205, 37 CFR Part 401, 42 CFR Part 2, 45 CFR Parts 5, 15, 16, 46, 77, 80,84, 86, 91, 95, 96, 97, and 100; 46 CFR Part 381; and 48 CFR Part 31.2; and 3) the Office of Management and Budget (OMB) Circulars, including OMB Circulars A-21,50, 87, 89, 102, 110, 122, 123, 133, 134, and 136.

For more information on the CFRs, visit:

<http://www.ecfr.gov/cgi-bin/ECFR?SID=2d5f57c64e7afab744f98df61bf24177&page=simple>.

For more information on the OMB Circulars, visit:

<https://www.whitehouse.gov/omb/information-for-agencies/circulars/>.

For more information about DCF grants, and to access the forms mentioned in this Manual, please visit the Grantee Resources page of the DCF Office of Grants and Contracts website at:

<http://www.dcf.ks.gov/Agency/Operations/Pages/Grantee-Resources.aspx>.

II. GRANTS

DCF's Office of Grants and Contracts (OGC) provides agency-wide coordination of all grants and contracts. In general, **grants involve goal-oriented services provided to the community**, whereas contracts involve a direct service or tangible asset provided to DCF.

The following sections are a few steps that need to be taken by the Grantee, and others involved with grant responsibilities, to take a grant from the idea phase through closeout.

This will also help explain some of the responsibilities of the various offices, as well as a general timeframe for the process.

III. REQUEST FOR PROPOSAL (RFP) PROCESS

Grant applicants can find information for open Requests for Proposal (RFPs) on the Grant page of DCF's OGC webpage at:

<http://www.dcf.ks.gov/Agency/Operations/Pages/OGC/Grant-RFP.aspx>.

In addition, if those interested in applying for DCF grant opportunities would like to be notified via e-mail of upcoming open DCF RFPs, they can fill out a request form at:

https://www.dcf.ks.gov/Agency/Operations/Pages/OGC/rfp_notify_contacts.aspx

Grant applicants can also look to the Kansas Register (Kansas' official state newspaper). The Register is published every Thursday and open RFPs can be found at:

<https://www.sos.ks.gov/publications/kansas-register.html>

Once DCF posts an RFP, applicants will have a minimum of thirty days to complete their application (each RFP has a specific timeline and deadlines). The RFP includes details regarding services being requested, expected program outcomes, the grant term, information on eligibility, deadlines, allowable uses of funds, match requirements (if applicable) and application requirements. A summary of post-award requirements – including information on Status Reports, Budget Transaction Reports, Budget Itemization Reports, and Federal Funding Accountability and Transparency Act (FFATA) requirements – is also included, to inform applicants of their potential responsibilities, should they be selected to receive a grant award.

Grant applicants are required to have and provide verification of their UEI number and their 501(c)3 status (if applicable), at the time of application. In addition, they must obtain a valid Kansas Certificate of Tax Clearance from the Kansas Department of Revenue and the debarment status of their agency from the national System for Award Management. Finally, the grant applicant's Transmittal Letter for Audit, their most recent IRS Form 990 (Return of Organization Exempt from Income Tax), or their most recent year-end financial statement must be submitted with the application. Matching funds may or may not be required, depending upon the grant opportunity. Indirect Costs are requested to be no more than 10% of the Grant Budget Request. Checklists are included in the RFP to assist applicants in assuring all requirements are included in their application.

Applicants have the opportunity to submit questions to DCF via e-mail regarding the RFP during a designated period of time identified within the RFP. DCF will then post the answers on the same DCF webpage where the RFP was posted. In some cases, a Pre-Bid Conference is held as another opportunity for DCF to answer questions from potential applicants. Questions must be submitted in writing to be a part of the official record. Also, in some cases, a Letter of Intent is required from applicants before the application deadline. All of this

information is posted in the RFP timeline. The table below outlines the steps and estimated timeline for the Grant RFP process once the RFP has been posted. Details for the steps are provided in the sections following the table.

Task	Estimated Time to Complete (Business Days)
RFP posted on the DCF Program internet page on the same day the RFP Abstract is posted in the Kansas Register	1 Day
Letters of Intent requested and received	7 Days
Pre-Bid Conference for potential applicants (optional).	1 Day
Potential grant applicants submit RFP questions	7 Days
Questions received from applicants are answered and posted on the DCF website	7 Days
Each DCF employee who will be involved in any part of the RFP must sign a non-disclosure agreement.	5 Days
Grant Applications received	2 Days
Once the RFP closes, the posting is removed the posting from the internet pages	1 Day
Grant Review Panel reviews applications and makes recommendations	10 Days
Negotiations with any applicants are administered	5 Days
NOGA Finalized and Signed	3 Days
Approximately 49 Days (7 Weeks, or 2 Months)	

1. The RFP Abstract is posted in the Kansas Register. The DCF OGC Pre-Award Unit will post the RFP on the OGC Grants webpage. Should Program decide to post the RFP on their internet page, they must notify the OGC Pre-Award Unit so they can post a link on the OGC Grants internet page that will direct them to the Program’s internet page and **then e-mail it all to everyone on the Service Providers List**. Potential grant applicant agencies can find out about open RFPs at any time on the:
 - a. OGC Grants internet page at:
<http://www.dcf.ks.gov/Agency/Operations/Pages/OGC/Grant-RFP.aspx>.
 - b. Kansas Register webpage at:
[Kansas Secretary of State | Kansas Register \(ks.gov\)](http://www.ks.gov)

2. Letters of Intent may be requested in instances where DCF would like to get a sense of the potential number of applicants before the due date itself.

3. A Pre-Bid Conference may be used in instances where the RFP is soliciting for services new to DCF or where more explanation may be necessary. It is typically held prior to the due date for RFP questions. It should include an overview of the RFP requirements, expectations, and a question-and-answer period.

4. Potential grant applicants may submit RFP questions via e-mail to dcf.grants@ks.gov. The OGC Pre-Award Unit answers process questions and sends a copy to the DCF Program Manager to answer content questions. Final answers are returned to the OGC Pre-Award Unit who drafts a Question-and-Answer document.
 - a. Once the question period has ended, Program can post the Question-and-Answer document on their DCF Program internet page and notify the OGC Pre-Award Unit so they can post a link on the OGC Grants internet page to the Program's internet page.
 - b. The OGC Pre-Award Unit will then e-mail the Question-and-Answer document to the Service Providers Lists. (*A Question-and-Answer Template is available from the OGC Pre-Award Unit.*) There **cannot** be any contact between DCF Program and the potential Grant applicants at this time – it is not allowed until after the award(s) have been decided.
 - c. **ANY contact between Program and a grant applicant disqualifies the applicant immediately.**
5. Each DCF employee who will be serving on the RFP Grant Review Panel must sign a non-disclosure agreement. All signed agreements must be emailed or given to the OGC Pre-Award Unit before any bid information will be provided.
6. The OGC Pre-Award Unit receives the Grant Applications. Information required from all applicants shall include the name, title, and current email address for all authorizing officials to include the Executive Director, Fiscal Officer/CFO and Program Director. Typically, one (1) original, and one (1) electronic version via flash drive or disc and timestamps them upon arrival. Information for the Board Chairperson can be discussed and added in the same section if determined as necessary. The OGC Pre-Award Unit receives the Grant Applications. Typically, one (1) original, and one (1) electronic version via flash drive or disc and timestamps them upon arrival. **The OGC Pre-Award Unit forwards the original copy and one (1) set of electronic copies to the DCF Program Manager. Applications received after the designated date and time will NOT be accepted. NO exceptions.**
7. Once the RFP closes, the RFP posting is removed.
8. Negotiations with any applicants are to be administered by the OGC Pre-Award Unit. The only exception, if there is only one (1) applicant, then the DCF Program Unit may administer the negotiations and copy the OGC Pre-Award Unit on all discussions. Also, if there are negotiations required then all applicants must have the opportunity to negotiate their proposals.
9. Should it be determined through the review and negotiation process that none the of applications satisfactorily meet the service requirements or within budget limitations, DCF shall reject all applications. DCF may repost the RFP in order to secure applications that meet all service and budgetary requirements.

Each RFP contains a strict grant application due date and time deadline which MUST be met in order for the Grantee to be considered for funding. No exceptions are allowed. Grant applications may be submitted by mail or in person (e-mail is not accepted). Typically, one (1) original as well as one (1) electronic copy (on a flash drive or disk) is required. All applications are to be sent to:

Pre-Award Unit
Office of Grants and Contracts
Kansas Department for Children and Families
Administration Building
555 S Kansas Avenue, 5th Floor
Topeka, Kansas 66603

DCF's Pre-Award Unit will be the potential grant applicant agencies' main point of contact at DCF throughout the grant application process. Successful grant applicant agencies will be designated a DCF Program Manager and a DCF OGC Grant and Contract Specialist at the time of award.

More detailed information regarding all of the above is provided within each specific RFP.

IV. GRANT REVIEW PROCESS

1. BACKGROUND

At the highest level, a solid grant review process spells out clear goals for the program, specifies review criteria, and determines which proposals best align with the particular funding opportunity. The review process ensures that the evaluation of proposals as a whole is fair and unbiased, resulting in the best outcomes for grant projects funded by DCF. The following are steps to be taken in the DCF process for reviewing proposals submitted in response to DCF funding opportunities:

a) Establish guidelines

Clear grant guidelines regarding identification of organizations eligible to apply for funding opportunities and expectations as to what is to be accomplished will shape which individuals and organizations apply as well as guide the eventual decision-making process used to determine award recipients. These guidelines are to be established and documented in the funding opportunity announcement and then followed when reviewing responses (See RFP Section III).

By establishing pre-qualification in the earliest phase of the application process will avoid receipt of proposals from ineligible applicants (See RFP Section IV). This will save the evaluation team from spending valuable time reviewing applications that have

little to no chance of being funded. The goal is to be as transparent as possible in identifying what organizations qualify for the funding opportunity as well as what DCF expects to be accomplished with the funding.

b) Review submissions

Grant review is fundamental to any grants process.

This review is where DCF organizational values are put into action to determine which proposals will receive funding. The DCF review process strives to ensure the process is fair and equitable.

Generally, OGC **staff and DCF Program staff conduct an initial review** of proposals to identify incomplete applications, ensure all applicant organizations are eligible to apply according to the documented funding proposal guidelines, and accept complete submissions aligned with the funding criteria.

A panel review will then occur resulting in a detailed review of all applications submitted for funding. This panel generally consists of OGC staff, DCF Program Subject Matter Experts, and other DCF staff as necessary. The panel may also include other Subject Matter Experts not employed by DCF. A diverse panel helps ensure impartial and more equitable funding decisions. Program staff will communicate review panel members to OGC and OGC will assist with coordination of review team meeting held in person or virtually.

For all phases of the review process, employing an anonymous submission and/or anonymous judging structure goes a long way towards ensuring fairness. This means masking the submitters and reviewers from each other so the focus remains on the quality of the submissions rather than any potential bias that may come from knowing the identities of either party. OGC will ensure this takes place and that all review team members sign a non-disclosure agreement to ensure confidentiality in the review process.

2. GRANT REVIEW PROCESS STEPS

As part of the DCF Leadership concurrence review of the Grant RFP, the use of a Grant Review Panel (GRP) that includes Subject Matter Experts not employed by DCF may be recommended. This is a process by which competitive, discretionary, grant applications are evaluated by internal and external reviewers. All GRPs provide a fair, equitable, and timely review by weighing the strengths and weaknesses of each grant application. For more information, see DCF's Orientation to Grant Review Manual and Orientation to Grant Review PowerPoint Presentation.

If the RFP is for a non-competitive bid, and thus all agencies with qualified applications receive funding, then Program may proceed to Section V–Notification of Grant Award

Process. Should Program wish to get certain questions resolved before the awards are given, these questions must be asked via the OGC Pre-Award Unit.

During the Grant Review process special care is taken to avoid conflicts of interest.

All participants in the review process must sign a Nondisclosure and Confidentiality Agreement to attest they have no conflict of interest and will keep all information confidential. Individuals involved in the Grant Review process may not participate in any aspect of the process, including assigning reviewers or being present during panel discussions, if they have: submitted a grant to DCF in the current fiscal year; served as an adviser or advisee to the grant applicant agency; are currently affiliated with, were employed within the past twelve (12) months by, or are being considered for employment with a grant applicant agency; participated in a consulting/financial arrangement with the grant applicant agency within the past three (3) years; or are the spouse, child, sibling, parent, partner, close friend, otherwise have a relationship that might affect judgment, or could be seen as doing so by a reasonable person familiar with the relationship. When inclusion of external reviewers is recommended, non-DCF GRP members are chosen from throughout the state and represent a broad range of experience and expertise

The Grant Review Panel uses a scoring guide when reviewing applications. The scoring guide uses a system of 100 total points, broken down as follows:

1. Grant Application Information Sheet (*5 points*)
2. Program Abstract (*10 points*)
3. Program Narrative (*75 points*)
 - a. Statement of the Problem (*10 points*)
 - b. Project Design (*30 points*)
 - c. Implementation Plan (*20 points*)
 - d. Management Structure (*10 points*)
 - e. Sustainability Plan (*5 points*)
4. Grant Budget Request, Budget Narrative/Justification, and Cost Allocation Plan (*10 points*)

DCF leadership uses the grant review ratings and summaries as guidance when selecting projects for awards. Grant review ratings are advisory only and do not bind DCF to a particular decision. In addition to the grant review ratings, considerations for award may include, but are not limited to, underserved populations, strategic priorities, past performance, geographic balance, and available funding.

The proposal review process involves individual, human readers. This fact produces an implacable rule: what is not noticed is not funded. Amidst the stack of proposals, the document that does not catch the attention of the reader or does not include all essential elements cannot compete on the more formal criteria associated with quality of design and congruence with DCF's priorities as identified in the grant RFP. Guidelines are also provided in the RFP as to what is expected to be addressed in each of the elements. The abstract and introduction are two of the required and essential sections of the proposal are thus very important, since they must project whatever unique or attractive elements are contained in the project proposal's approach.

The most common reasons for proposal rejection boil down to a surprisingly small number of simple and familiar failures. These factors do not necessarily mean a proposal will be rejected, but more information may be required if the review team feels they want to proceed with a review of a particular proposal that may have one or more of the following characteristics:

- Deadline for submission was not met.
- Proposal topic was not appropriate to the funding opportunity for which it was submitted.
- Guidelines for proposal content, format, and/or length were not followed exactly.
- The proposal contained an unreasonable number of mechanical defects that reflected carelessness and the author's unwillingness to attend to detail. The risk that the same attitude might extend to execution of the proposed project was not acceptable to the reviewers.
- The proposed question, design, and method were completely traditional, with nothing that could strike a reviewer as unusual, intriguing, or innovative.
- The proposed area of study was not a DCF priority for the current year.
- The cost of the proposed project appeared to be greater than any possible benefit to be derived from its completion.
- The proposal was not clear and complete in describing one or more elements of the project.
- The proposed project appeared to be beyond the capacity of the applicant in terms of training, experience, and available resources.
- The budget was unrealistic in terms of estimated requirements for equipment, supplies, and personnel.
- The quality of writing was poor (e.g., sweeping, and grandiose claims, convoluted reasoning, excessive repetitions, or unreasonable length).

Once DCF leadership has made a decision, the DCF Pre-Award Unit will notify both successful and unsuccessful applicants of their decision.

V. NOTIFICATION OF GRANT AWARD (NOGA) PROCESS

Successful grant applicants will be assigned to a DCF Program Manager. The DCF Program Manager will be the grantee's main point of contact at DCF throughout the grant award process, as well as during the implementation of the grant itself. DCF will draft a Notification of Grant Award (NOGA), the formal agreement between DCF and the Grantee and will work with the applicant to obtain all necessary information and documents to complete the NOGA. Items which may be requested include the name, title, and contact information for the Grantee's Authorizing Official (who should be the Grantee's top level individual), Financial Officer and Project Director; the Grantee's Federal Employee Identification Number (FEIN) and UEI Number; the grantee's fiscal year end; and the Five Most Highly Compensated Executives form (OGC-4001), which is the Federal Funding Accountability and Transparency Act (FFATA) requirement referenced in the RFP.

The Grantee will be assigned a DCF grant number, which must be used on all correspondence regarding the grant. The NOGA document will confirm the grant term and award amount (Approved Grant Budget Authority), including details on the services to be provided, the performance measures and outcomes to be achieved, the deliverables and reporting requirements, allowable use of funds, match requirements (if applicable), as well as all of the terms and conditions to which the grantee must agree to and sign off on before the grant is awarded. The Secretary of DCF signs off on the NOGA before it will be sent to the Grantee.

Once the Grantee receives the NOGA from their DCF Program Manager, they will have a set amount of time to get the paperwork reviewed, completed, and signed by their Authorizing Official and returned to DCF. Each page of the NOGA's Specific Terms and Conditions must be initialed by the grantee's Authorizing Official. In addition, the Authorizing Official must sign the NOGA's signature page, which confirms the grantee's agreement with the aforementioned Specific Terms and Conditions, as well as the Kansas provisions found in the Department of Administration's Contractual Provisions (DA- 146a), and the federal provisions found in the Special Provisions Incorporated by Reference. Any questions generated during this time period can be directed to the designated DCF Program Manager.

The signed NOGA, in its entirety, including all Attachments, must be returned to the DCF Program Manager by the assigned deadline. **The Grantee cannot expend any funds until this process has been completed, the paperwork has been signed, and the grant term has begun. If the grant year has begun, and the aforementioned has not been completed, the Grantee may begin expending funds, but does so at their own risk, as DCF is under no obligation to reimburse funds not tied to a signed NOGA.**

More detailed information regarding all of the above is provided within each specific NOGA. The provisions in this manual, and in the NOGA Template, apply to all DCF grant awards, unless otherwise noted. There may be additional provisions noted in a project's NOGA which apply only to that particular grant award. It is the responsibility of each Grantee to check for form updates at the DCF OGC website regularly.

VI. SUB-AWARDS

A Grantee may enter into sub-awards **only with prior written approval from DCF**. Sub-Grantee Agencies must sign off and adhere to the same Specific Terms and Conditions contained within the original NOGA and are subject to the same Tax Clearance and Debarment requirements as the Grantee, as well as the audit requirements outlined within the NOGA. Sub-Grantees shall utilize the grant funds in a manner consistent with their given budget and abiding by the restrictions found in the Grantee's NOGA.

A copy of each Sub-Grantees' Tax Clearance and Debarment Memorandum, as well as the signed Sub-Grantee Acknowledgement Form (OGC-1012), must be submitted with the NOGA if Sub-Grantees are known at that time. If Sub-Grantees are established at a later date, documents must be submitted as soon as possible to the designated DCF Program Manager. These documents must all be submitted prior to any funds being reimbursed to the Sub-Grantee. **Reimbursement may be delayed should documents not be provided.**

VII. REPORTING REQUIREMENTS

The specific work required by the grant must be completed in accordance with the Scope of Work specified in the NOGA, or as requested by DCF. **The Grantee must submit required reports to the DCF Program Manager designated in their NOGA.** Failure to submit the required reporting, regardless of the level of progress or expenditures during the reporting period, could lead to non-payment of the Budget Transaction Report requested funds, suspension of the grant, and/or termination of the grant, at the discretion of DCF.

The submission of financial reports (i.e., monthly, quarterly, etc.) to DCF for payment, including associated documentation, does not indicate an audit has been performed. DCF Audit Services may elect to perform subsequent audit procedures to determine compliance on DCF awards.

Should a Grantee have more than one (1) Grant from DCF, separate reports are required for each award.

1. **STATUS REPORTS** (OGC-1006) must be submitted by the Grantee to their designated DCF Program Manager throughout the grant year, according to the timeline established in their NOGA. Status Reports track progress on Performance Measures, comparing mid-year progress with the annual goals established in their NOGA. Status Reports are required for project-based grant awards. ***DCF Program may determine alternate narrative requirement(s) for formula-based awards.***
2. **BUDGET TRANSACTION REPORTS** (OGC-1005) must be submitted by the Grantee throughout the grant year according to the timeline established in the NOGA (the version of the Budget Transaction Report that is to be used by the Grantee will have been established in the NOGA, as will the details of any Matching Expenditures, Recoupment of Advanced Grant Funds, or the Administrative Portion of Total Grant Expenses). Budget Transaction Reports track expenditures comparing expenses with

the annual limits established in the NOGA. If “Other” line items were specified in the NOGA’s Approved Grant Budget Authority, then they must be specified the same way in the Budget Transaction Report. The Budget Transaction Report also tracks matching funds, advanced funds, and administrative costs, if applicable, and defined within the Grantee’s NOGA. Requests for reimbursement must be limited to those expenditures made consistent with the provisions of the NOGA and within the grant term and in compliance with UGG rules. In addition, **reimbursement of costs for personnel, major equipment, and other significant purchases must be limited to the portion utilized on the project.** Grantees may expend funds no more than 10% over each line item, as long as the Total Grant Budget is not exceeded. Any expenditure over 10% of each line item must be pre-approved via a Revision Request Form (OGC-1008) **before** they are requested for reimbursement. For more information, see Section IX–Revisions.

If the Budget Transaction Report includes expenses incurred from Sub-Awardees, a copy of the Sub-Grantee(s) Tax Clearance(s) and Debarment Memorandum(s), as well as a signed Sub-Grantee Acknowledgement Form (OGC-1012), must already be on file in order for any funds to be reimbursed. (Related information can be found in Section VI – Sub-Awards). Reimbursement may be delayed should these documents not be provided.

The last Budget Transaction Report must be marked as “FINAL” and submitted according to the timeline established in the NOGA. **Under no circumstance will the final Budget Transaction Report be accepted beyond sixty (60) days following the end of the Grant term, at which time the funds may be released.**

3. **BUDGET ITEMIZATION REPORTS** (OGC-4005) must be submitted by the Grantee to their designated DCF Program Manager throughout the grant year, according to the timeline established in their NOGA. Budget Itemization Reports enumerate the expenses listed in the Budget Transaction Reports in greater detail, itemizing them by line item*.

The Sub-Totals on each line item of the Budget Itemization Reports must match the line item figures on the Budget Transaction Report. **The Budget Itemization Report is mandatory – grantee ledgers will not be accepted unless more detailed explanation is required for an expenditure.** Receipts are to be kept on file at the Grantee for possible review as requested by DCF.

Budget Itemization Reports are to itemize the following information: who was paid is put in the left column under the header “Line Item”; amount they were paid is put in the middle column under the header “Amount”; a brief description of what was being paid for is put in the right column under the header “Description”.

*Basic definitions of the **Budget Itemization Report** line items:

- a. Personnel (2 CFR 200.430) is compensation for personnel services that includes but is not limited to all wages and salaries, paid currently, or accrued, for services of employees rendered during the period of performance under the Federal award. This also includes any program substitutes used to temporarily replace current staff.
- b. Fringe Benefits (2 CFR 200.431) are allowances and services provided to their employees as compensation in addition to regular salaries and wages (i.e., medical benefits, federal taxes, etc.)
- c. Travel (2 CFR 200.474) consists of expenses for transportation, lodging, subsistence, and related items incurred by employees who are in travel status on official business of the non-Federal entity. These expenses are to be aligned with the State of Kansas Travel Regulations – mileage reimbursement rates and per diem. Hotel rates are to be as close as possible to State Regulations if Grantee is unable to match exact.
- d. Equipment (2 CFR 200.439) consists of capital expenditures such as special purpose equipment that is allowable as a direct cost, provided that items with a unit cost of \$5,000 or more have the prior written approval of the federal awarding agency or pass-through entity. An Equipment Pre-Approval Request Form (OGC-4004) must be submitted to the designated DCF Program Manager for approval for all items over \$5,000 per item, as referenced in the **EQUIPMENT PRE-APPROVAL REQUEST** section below.
- e. Supplies (2 CFR 200.453) are costs incurred for materials, supplies, and fabricated parts necessary to carry out a Federal award. Materials and supplies used for the performance of a Federal award may be charged as direct costs. Advertising expenses are included in this line item, per CFR 200.421. Computers are considered supplies unless it has an acquisition cost of more than \$5,000 per computer.
- f. Contractual (2 CFR 200.459) includes costs for professional and consultant services rendered by persons who are members of a particular profession or possess a special skill and who are not officers or employees of the non-Federal entity. These are subject to factors of relevancy discussed within the CFR.
- g. Building costs consist of rental of facilities based on allocable portion to the award, utilities necessary to operate the facility as well as services necessary to run the facility such as a phone service, internet, cell phones, etc. All items are to be an allocable portion of the total cost based on the award.

- h. Training (2 CFR 200.472) includes costs of training and education provided for employee development directly related to performance of the award, including meetings and their associated costs.
- i. Other (3 of these line items available) are costs open and available for whichever additional allowable direct expenses the Grantee will be providing. Such example would be for client services.
- j. Indirect Costs are to cover any business costs not directly associated with the award such as general administration expenses of the entity (i.e., director's office, accounting, etc.) and facility costs such as depreciation, interest on debt associated with certain buildings, improvements and equipment, and operation expenses of the entity. **Indirect Costs are requested to be 10% or less of the total grant award.**

Budget Transaction Reports will not be processed without a Status Report for the reporting period on file, a Budget Itemization Report, and any other required documentation as established in the NOGA. All reports must be submitted every reporting period, even if no expenses were incurred and no activity took place. If no expenses were incurred, then \$0.00 should be submitted on the Budget Transaction Report and Budget Itemization Report. If no activity took place or no services were provided, then an explanation for such should be included on the Status Report. If there are reports being corrected or reports have not been submitted for any reason, the current report submitted will not be processed until all items have been resolved.

Preliminary reports will not be accepted, as no more than one report per designated reporting period is allowed. This includes "FINAL" reports for the grant term. There should only be one (1) "FINAL" report for a grant term. Should adjustments be necessary, they must be made on the reports for the following reporting period. **Incomplete or incorrect reports will be returned for correction without payment.** All reports must be received on or before the required due dates established in the NOGA. **Failure to submit the required reporting, regardless of the level of progress or expenditures during the reporting period, will lead to non-payment of the Budget Transaction Report requested funds, suspension of the grant, and/or termination of the grant, at the discretion of DCF.**

- 4. **EQUIPMENT PRE-APPROVAL REQUESTS** (OGC-4004) must be submitted by the Grantee to their designated DCF Program Manager and approved **BEFORE** any purchase of equipment is made. Equipment is an article of tangible personal property that has a useful life of more than one year and an acquisition cost of \$5,000 or more PER UNIT (the Request must be submitted if the DCF-funded portion is \$5,000 or more per unit). Equipment purchased with grant funds must be returned to DCF upon completion of the grant.

5. **ADDITIONAL REPORTING OR DOCUMENTATION** may be required by DCF as a result of Program or funding requirements. Specific details will be established within each specific NOGA.

Once the Grantee has submitted all required reports and documentation to the DCF Program Manager, the DCF OGC Grant and Contract Specialist reviews the Budget Transaction Report, Budget Itemization Report, and Status Report for accuracy, completeness, allowability, and reasonableness, comparing them to previous reports when applicable. If approved, the DCF OGC Grant and Contract Specialist signs the reports, creates a Payment Request form, and forwards the packet to establish a voucher in the Statewide Management, Accounting & Reporting Tool. The voucher is then passed on for final approval where the payment will be released to the Grantee.

The aforementioned forms, and additional information, can be found on the Grantee Resources page of the DCF Office of Grants and Contract website at:

<http://www.dcf.ks.gov/Agency/Operations/Pages/Grantee-Resources.aspx>.

VIII. PAYMENTS

DCF grant awards are reimbursement-based, unless otherwise noted in the Grantee's NOGA. Grantee Agencies will be required to submit regular Budget Transaction Reports, Budget Itemization Reports, and Status Reports, as noted in the previous section, and will be reimbursed accordingly.

In accordance with the Kansas Prompt Payment Act (K.S.A. 75-6403), payments must be made to the Grantee within thirty (30) days from the day DCF receives a valid Budget Transaction Report, Budget Itemization Report, and Status Report. Please note the "payment date" is considered to be the date on the check to the grantee, not the date the check is received by the grantee. Any payments not processed within thirty (30) days are subject to an interest penalty. Request for interest to be paid on an invoice must be sent to the Executive Officer of the Grantee. Interest will be paid at a rate of 1.5% per month of the unpaid balance due. Total compensation shall not exceed the Approved Grant Budget Authority authorized in the NOGA.

IX. REVISIONS

A Grantee may submit a REVISION REQUEST (OGC-1008) during the grant year to their designated OGC Grant and Contract Specialist if they would like to move funding from one line item to another, within the existing grant year, without changing the Total Expense amount of their Approved Grant Budget Authority. If the requested funding change is less than 10% of the line-item amount where the money is coming from overall, no Revision is required. If numerous revisions are completed and total amount of money moved overall exceeds the 10% amount a Revision Request is required.

Approval is necessary prior to making any expenditure for which a revision has been

requested even if the revision is less than 10% of the line-item amount. In addition, approval is necessary before requesting reimbursement for such revised expenses. The Grantee shall continue to utilize the grant funds in a manner consistent with the Approved Grant Budget Authority and abiding by the restrictions found within the NOGA.

Revision Requests will not be accepted during the last thirty (30) days of the grant term.

X. AMENDMENTS

DCF Program may submit an AMENDMENT REQUEST (OGC-1009) to their designated OGC Grant and Contract Specialist (to be sent through Concurrence) during the Grant Year if they would like to extend the Grant Year end date, increase/decrease the Total Expense amount of the Approved Grant Budget Authority or change the scope of work within the grant year. An extension may not be exercised merely for the purpose of using any unliquidated award balances. The Grantee will be made aware of these potential adjustments and will be asked to sign off on them before they are put into place. The Grantee MUST submit a new Tax Clearance and a new Debarment Memorandum, as well as a new Federal Funding Accountability and Transparency Act (FFATA) Five Most Highly Compensated Executives form (OGC-4001) if the Grantee is determined to be a Sub-Recipient and additional funding is requested.

Amendment Requests will not be accepted during the last sixty (60) days of the grant term.

XI. RENEWALS

For grants with available renewal options are provided in the NOGA, the DCF Program Manager submit a RENEWAL REQUEST (OGC-1010) if they would like to renew a grant for an additional grant term. This process MUST start six (6) months prior to the start of the renewal period (grant year). For instance, the process for Renewal Requests for SFY grants – July 1 through June 30, must start in January, for FFY grants – October 1 through September, must start in April, and for CY grants – January 1 through December 31, must start in July.

The Grantee will be involved in this process and will be asked to provide documents as well as sign off on the Renewal before it becomes effective. The Grantee MUST submit a new Tax Clearance and a new Debarment Memorandum, as well as a new Federal Funding Accountability and Transparency Act (FFATA) Five Most Highly Compensated Executives form (OGC- 4001), if Grantee is determined to be a Sub-Recipient.

XII. MONITORING

The Grantee's/Sub-Grantee's responsibilities regarding obtaining an independent audit of any grant or sub-grant awarded by DCF are found in DCF's Recipient Monitoring Policy, which can be found on DCF's Audit Services webpage at:

[https://www.dcf.ks.gov/Agency/Operations/Audits/Documents/Recipient Monitoring Policy.pdf](https://www.dcf.ks.gov/Agency/Operations/Audits/Documents/Recipient%20Monitoring%20Policy.pdf)

Detail on the level of monitoring required is included in each specific NOGA. All Grantee and Sub-Grantee awards issued by DCF are also subject to federal and state audit. For more information, please contact DCF's Audit Services at 785.296.3836, or via e-mail at DCF.OACS@ks.gov.

XIII. GRANT CLOSEOUT PROCESS

The grant closeout is the process by which the funding agency determines that all applicable administrative actions and all required work associated with the award have been completed. If an awardee does not seek a supplemental grant or a no-cost extension on the completion date, the grant is closed out.

According to the [OMB Uniform Grants Guidance](#) §200.343, the grant recipient must submit all financial, performance, and other reports required under the grant within 90 days after the grant award expires or is terminated. DCF grant closeout processes are based on the federal guidance provided by §200.343.

DCF OGC staff, in coordination with DCF Program staff, will review these reports to ensure compliance with all the grant terms and conditions as well as to make sure all the funds were used in accordance with the terms of the NOGA. All open purchase orders related to the grant will be reviewed, any payments due will be processed and any remaining open purchase orders will be closed.

DCF or the pass-through entity will close out the award when it determines that all applicable administrative actions and all required work of the award have been completed by the grant award recipient. If the award recipient fails to complete the requirements, the DCF or the pass-through entity will proceed to close out the grant award with the information available. This section specifies the actions the award recipient and DCF or the pass-through entity must take to complete this process at the end of the period of performance.

- (a) The award recipient must submit, no later than 120 calendar days after the end date of the period of performance, all financial, performance, and other reports as required by the terms and conditions of the award. A subrecipient must submit to the pass-through entity, no later than 90 calendar days (or an earlier date as agreed upon by the pass-through entity and subrecipient) after the end date of the period of performance, all financial, performance, and other reports as required by the terms

and conditions of the award. DCF or the pass-through entity may approve extensions when requested and justified by the award recipient, as applicable.

- (b) Unless DCF or the pass-through entity authorizes an extension, the award recipient must liquidate all financial obligations incurred under the award no later than 120 calendar days after the end date of the period of performance as specified in the terms and conditions of the award.
- (c) DCF or the pass-through entity must make prompt payments to the award recipient for costs meeting the requirements in NOGA being closed out.
- (d) The award recipient must promptly refund any balances of unobligated cash that DCF, or the pass-through entity paid in advance or paid and that are not authorized to be retained by the award recipient for use in other projects. See OMB Circular A-129 and see §200.346, for requirements regarding unreturned amounts that become delinquent debts.
- (e) Consistent with the terms and conditions of the NOGA, DCF or the pass-through entity must make a settlement for any upward or downward adjustments to the Federal share of costs after closeout reports are received.
- (f) The award recipient must account for any real and personal property acquired with grant funds or received from the DCF in accordance with §§200.310 through 200.316 and 200.330.
- (g) When a recipient or subrecipient completes all closeout requirements, DCF or the pass-through entity must promptly complete all closeout actions for DCF awards. DCF must make every effort to complete closeout actions no later than one year after the end of the period of performance unless otherwise directed by authorizing statutes. Closeout actions DCF actions in the grants management and payment systems.
- (h) If the award recipient does not submit all reports in accordance with this section and the terms and conditions of the NOGA, DCF must proceed to close out with the information available within one year of the period of performance end date.

- (i) Awards financed solely or in part with Federal funds require DCF to report the award recipient's material failure to comply with the terms and conditions of the award with the OMB-designated integrity and performance system (currently FAPIIS) if the award recipient does not submit all reports in accordance with this section within one year of the period of performance end date. DCF may also pursue other enforcement actions per §200.339.

Audit Services may conduct an audit or review of a grantee following the end of a grant period.

**For more information, visit the Grantee Resources page of
the DCF Office of Grants and Contracts website at
<http://www.dcf.ks.gov/Agency/Operations/Pages/Grantee-Resources.aspx>.**