



Grant Manual

GRANTEE VERSION

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

Strong Families Make a Strong Kansas

Version 1.2
REV 08/17

DCF GRANT MANUAL

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I. OVERVIEW

DCF MISSION

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

DCF MOTTO

Strong Families Make a Strong Kansas.

DCF STRATEGIC OBJECTIVES

DCF strategic objectives include strengthening families, safely reducing the number of children in care, 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, child care assistance, low income energy assistance, and Medicaid eligibility 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.

PURPOSE OF THE MANUAL

DCF has prepared this manual to serve as guidance for those agencies involved in the financial and administrative management of DCF-funded grant awards. The goal is to provide a summary of DCF grant procedures to ensure grant funds are being administered judiciously. The provisions in this manual apply to all DCF grant awards, unless otherwise noted in the Grantee Agency's Notification of Grant Award.

The State uses federal funds, and matches those federal funds with state funds; therefore, federal guidelines and regulations must be 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:
http://www.whitehouse.gov/omb/circulars_default.

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 Agency, and others involved, 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

Agencies can find out about 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 agencies would like to be notified via e-mail of upcoming open DCF RFPs, they can fill out a request form at

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

Agencies can also look to the Kansas Register (Kansas' official state newspaper) for open RFPs at http://www.kssos.org/Pubs/pubs_kansas_register.asp. The Register is published every Thursday.

Once DCF posts an RFP, agencies will have a minimum of thirty days to complete their application (each RFP has a specific timeline and deadlines). The RFP includes details on what services are 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 applicant agencies of their potential responsibilities, should they become a Grantee.

Grant applicant agencies will be required to have and provide verification of their DUNS 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 agency'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 applicant agencies in assuring all requirements are included in their application.

Agencies have the opportunity to submit questions via e-mail regarding the RFP to DCF 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 applicant agencies before the application deadline. All of this information is posted in the RFP timeline.

Each RFP contains a strict grant application due date and time deadline which MUST be met in order for the Grantee Agency 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 and four (4) copies, as well as one (1) electronic copy (on a flash drive or disk) is required. All applications are to be sent to:

Grant Manager, Office of Grants and Contracts
Kansas Department for Children and Families
Administration Building
555 S Kansas Avenue, 5th Floor
Topeka, Kansas 66603

DCF's Grant Manager 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. PEER REVIEW PROCESS

DCF is committed to ensuring a fair and equitable process for awarding grants. Eligible applications will be evaluated, scored, and rated by a Grant Peer Review Panel. Peer review is the process by which competitive, discretionary grant applications are evaluated by internal and external reviewers. Peer reviewers evaluate applications to make sure the information presented is reasonable, understandable, measurable, and achievable, as well as consistent with the program or legislative requirements as stated in the RFP.

The Grant Peer Review Panel uses a scoring guide, which coincides with the RFP, 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 peer review ratings and summaries as guidance when selecting projects for awards. Peer review ratings are advisory only and do not bind DCF to a particular decision. In addition to the peer review ratings, considerations for award may include, but are not limited to, underserved populations, strategic priorities, past performance, geographic balance, and available funding. Once DCF leadership has made a decision, the DCF Grant Manager will notify both successful and unsuccessful applicants of their decision.

V. NOTIFICATION OF GRANT AWARD (NOGA) PROCESS

Successful grant applicant agencies will be designated a DCF Program Manager who will be their 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 Agency, and will work with the applicant agency 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 Agency's Authorizing Official (who should be the top level individual at the Agency), Financial Officer and Project Director; the agency's Federal Employee Identification Number (FEIN) and DUNS Number; the agency'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 Agency 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 agency 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 Agency.

Once the Grantee Agency 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 agency's Authorizing Official. In addition, the Authorizing Official must sign the NOGA's signature page, which confirms the agency'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 Agency 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 Agency 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 Agency to check for form updates at the DCF OGC website regularly.

VI. SUB-AWARDS

A Grantee Agency 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 Agency, 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 Agency'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 Agency 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.

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

STATUS REPORTS (OGC-1006) must be submitted by the Grantee Agency 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.

BUDGET TRANSACTION REPORTS (OGC-1005) must be submitted by the Grantee Agency to their designated DCF Program Manager throughout the grant year, according to the timeline established in their NOGA. Budget Transaction Reports track expenditures, comparing expenses with the annual limits established in their NOGA. If “Other” line items were specified in their 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 and administrative costs, if applicable, and defined within the Grantee Agency’s NOGA. Requests for reimbursement must be limited to those expenditures made consistent with the provisions of the NOGA and within the grant term. In addition, **reimbursement of costs for personnel, major equipment, and other significant purchases must be limited to the portion utilized on the project.** Grantee Agencies may expend funds up to no more than 10% over each line item, as long as the Total Grant Budget is not exceeded. Any line item expenditure over 10% must be pre-approved via a Revision Request Form (OGC-1008) **before** the reimbursement is requested. For more information, see Section IX–Revisions, Amendments, and Renewals.

If the Budget Transaction Report includes expenses incurred from Sub-Awardees, a copy of the Sub-Grantee Agency(ies) 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.**

BUDGET ITEMIZATION REPORTS (OGC-4005) must be submitted by the Grantee Agency 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 – agency ledgers will not be accepted unless more detailed explanation is required for an expenditure.** Receipts are to be kept on file at the Grantee Agency for possible review as requested by DCF.

*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 Agency 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 costs associated with those.
- i. Other (3 of these line items available) are costs open and available for whichever additional allowable direct expenses the Grantee Agency 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.**

EQUIPMENT PRE-APPROVAL REQUESTS (OGC-4004) must be submitted by the Grantee Agency 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.

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 Agency 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 Agency.

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 Agency'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.

DCF shall pay amounts due and payable within thirty (30) days after receipt of valid, complete Budget Transaction Reports, Budget Itemization Reports and Status Reports. In accordance with the Kansas Prompt Payment Act (K.S.A 75-6403), payments must be made to the Grantee Agency within thirty (30) days from the date the Reports were received by DCF. Please note the "payment date" is considered to be the date on the check to the agency, not the date the check is received by the Grantee Agency. 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 Agency. 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, AMENDMENTS, AND RENEWALS

A Grantee Agency may submit a **REVISION REQUEST** (OGC-1008) during the grant year to their designated DCF Program Manager if they would like to move funding from one line item to another, within the existing grant year, without changing the total amount of their Approved Grant Budget Authority. If the requested funding change is less than 10% (aggregate) of the line item amount where the money is coming **FROM**, no Revision is required. **Approval is necessary prior to making any expenditure.** In addition, approval is necessary before requesting reimbursement for such expenses. The Grantee Agency 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.**

On occasion, the **DCF Program Manager** may do an **AMENDMENT REQUEST** (OGC-1009) during the grant year if they would like to increase/decrease the Total Expense amount of the Approved Grant Budget Authority or change the scope of work within the grant year. The Grantee Agency 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 Agency **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 Agency 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.**

The DCF Program Manager may do a **RENEWAL REQUEST** (OGC-1010) if they would like to renew a grant for an additional grant term if there are renewal options allowed within the NOGA. **This process should start six (6) months prior to the start of the renewal period (grant year).** The Grantee Agency will be involved in this process and will be asked to provide documents as well as sign off on the Renewal before it is put into place. The Grantee Agency **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 Agency is determined to be a Sub-Recipient.

X. 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 <http://www.dcf.ks.gov/Agency/GC/Pages/Audits/AuditPolicies.aspx>. 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.

**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>.**