



Grant Manual

GRANTEE VERSION

**Kansas Department for Children and Families
Office of Grants and Contracts
915 SW Harrison Street
Topeka, Kansas 66612**

Strong Families Make A Strong Kansas

REV 07/14

DCF GRANT MANUAL

TABLE OF CONTENTS

I. OVERVIEW	3
DCF Mission	3
DCF Motto	3
DCF Strategic Objectives	3
DCF Family Services Programs	3
Purpose of the Manual	3
II. REQUEST FOR PROPOSAL (RFP) PROCESS	4
III. PEER REVIEW PROCESS	5
IV. NOTIFICATION OF GRANT AWARD (NOGA) PROCESS	6
V. REPORTING REQUIREMENTS	7
VI. PAYMENTS	9
VII. REVISIONS AND AMENDMENTS	9
VIII. MONITORING	10

I. OVERVIEW

DCF MISSION

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

DCF MOTTO

Strong Families Make A Strong Kansas.

A. 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.

B. 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.

C. 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 that 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, 19, 46, 74, 76, 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 DCF's Office of Grants and Contracts webpage:
www.dcf.ks.gov/Agency/Operations/Pages/Grants-and-Contracts.aspx

II. REQUEST FOR PROPOSAL (RFP) PROCESS

DCF's Office of Grants and Contracts (OGC) provides agency-wide coordination of all grants and contracts. 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, how many grants will be awarded, the total amount of funding available, and the grant term, as well as 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 if required, their 501(c)3 status, 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, and submit this information with their application. 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 limited to 10% of the Grant Budget Request. Checklists are included in the RFP to assist applicant agencies in assuring that 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. 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. Also in some cases, a Letter of Intent is required from applicant agencies before the application deadline.

Each RFP contains a strict grant application 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 allowed). 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
Department for Children and Families
Docking State Office Building
915 SW Harrison Street, 8th Floor South, Room 830
Topeka, Kansas 66612

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 are designated a DCF Program Manager and Grant and Contract Specialist at the time of award).

More detailed information regarding all of the above is provided within each specific RFP. The RFP Template and associated attachments can be found at www.dcf.ks.gov/Agency/Operations/Pages/Grants-and-Contracts.aspx.

III. 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 that 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, however, and do not bind DCF to a particular decision. In addition to peer review ratings, considerations 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 Program that posted the RFP will notify both successful and unsuccessful applicants of their decision.

IV. NOTIFICATION OF GRANT AWARD (NOGA) PROCESS

Successful grant applicant agencies will be designated a DCF Program Manager and a DCF OGC Grant and Contract Specialist, who will be their main points of contact at DCF throughout the grant award process, as well as 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, including the name, title, and contact information for the Grantee Agency’s Authorizing Official, Financial Officer, and Project Director; the agency’s Federal Employee Identification Number (FEIN) and DUNS Number; and the agency’s fiscal year end. The Authorizing Official should be the top level individual at the Agency. It is allowable for one individual to fill multiple roles (i.e., Financial Office and Project Director).

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), and include details on the services to be provided, the performance measures and outcomes to be achieved, the deliverables and reporting requirements, allowable uses 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 gets sent to the Grantee Agency.

Once the Grantee Agency receives the NOGA from their DCF OGC Grant and Contract Specialist, they will have a set amount of time to get the paperwork reviewed, completed, and signed by their Authorizing Official, and returned to DCF. The paperwork includes the Five Most Highly Compensated Executives form (OGC-4001), the Federal Funding Accountability and Transparency Act (FFATA) requirement referenced in the RFP. 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 OGC Grant and Contract Specialist.

The signed NOGA in its entirety, including all Attachments, must be returned to the DCF OGC Grant and Contract Specialist 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 been, 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. The NOGA Template and associated attachments can be found at www.dcf.ks.gov/Agency/Operations/Pages/Grants-and-Contracts.aspx.

V. 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 or DCF OGC Grant and Contract Specialist designated in their NOGA and **as designated on each specific form**, according to the timeline established in the NOGA.

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 the NOGA. Status Reports track progress on Performance Measures, comparing mid-year progress with the annual goals established in the NOGA.

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 the NOGA. Budget Transaction Reports track expenditures, comparing mid-year expenses with the annual limits established in the NOGA. (The Budget Transaction Report also tracks matching funds, advanced 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.** Grantee Agencies may expend funds up to 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 VII–Revisions and Amendments.

*An **ADVANCE GRANT FUNDS REQUEST** (OGC-1011) may be submitted by the Grantee Agency to their designated DCF Program Manager if they are eligible and wish to request an advance of grant funds. A Grantee Agency may request an Advance only if one of the following applies: 1) The Advance is for the start-up of a new grant; or 2) The Advance is for a new initiative which involves major funding, causing extraordinary cost to the agency. The Advance must be limited to 10% of the grant amount, and is limited to the initial grant year.

DCF will recoup the advanced funds either in one lump sum during the initial reporting period, or by reducing the reimbursement amount for actual expenditures by an equal proportion each period (i.e., for a Grantee Agency that submits for reimbursement quarterly, their reimbursement amount would be reduced by one-fourth of the advanced amount for each of the four quarters of the grant year).

The last Budget Transaction Report must be marked as final and submitted according to the timeline established in the NOGA. Any unspent funds will be released. **Under no circumstance will the final Budget Transaction Report be accepted beyond sixty (60) days after the end of the grant term, at which time the funds will 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 the 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 the Budget Itemization Reports must match the line item figures on the Budget Transaction Reports. The Budget Itemization Report is mandatory – agency ledgers will not be accepted. Receipts are to be kept on file at the Grantee Agency.

*****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.** Budget Transaction 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. If no activity took place or no services were provided, then an explanation for such should be included on the Status Report.) **Preliminary reports will not be accepted**, as no more than one report per designated reporting period is allowed. 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).

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.

The aforementioned forms, and additional information, can be found at the DCF Office of Grants and Contract webpage at www.dcf.ks.gov/Agency/Operations/Pages/Grants-and-Contracts.aspx.

VI. PAYMENTS

Please note that DCF grant awards are reimbursement-based, unless otherwise noted in the Grantee Agency's Notification Of Grant Award. Grantee Agencies will be required to submit regular Budget Transaction Reports and Budget Itemization Reports, as noted in the previous section, and will be reimbursed accordingly.

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

VII. REVISIONS AND AMENDMENTS

A Grantee Agency may submit a **REVISION REQUEST** (OGC-1008) during the grant year to their designated DCF 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, 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, **DCF Program** may make an Amendment to the NOGA, 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. 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.

VIII. 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/Documents/Audits/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 oacs@dcf.ks.gov.

For more information, visit DCF's Office of Grants and Contracts webpage:
www.dcf.ks.gov/Agency/Operations/Pages/Grants-and-Contracts.aspx