**2021-2022**

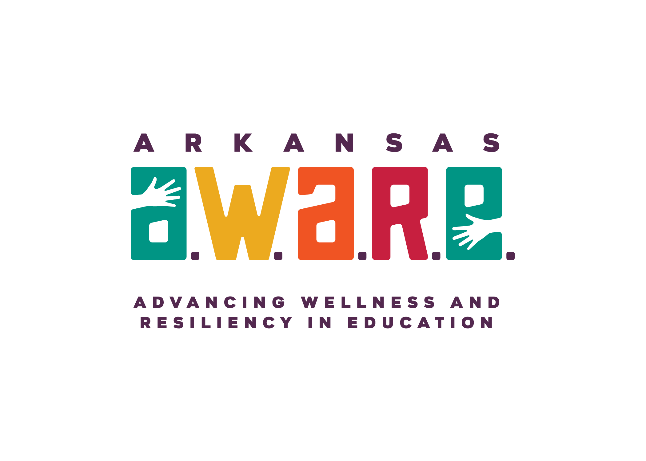
**Request for Applications (RFA)**

**Arkansas AWARE**

**Mini-Grant Project**

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**GUIDELINES & APPLICATION TEMPLATE**

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**APPLICATION DEADLINE**

**Completed applications will be accepted through Wednesday, December 1, 2021, or until funds are depleted**.

**Division of Elementary and Secondary Education**

**Arkansas AWARE**

**Mini-Grant Project**

**2021 - 2022**

**PURPOSE**

The Arkansas AWARE Mini-Grant Project is an opportunity for Arkansas public school districts to participate in the *Substance Abuse and Mental Health Services Administration (SAMHSA) RFA-SM-18-006 AWARE (Advancing Wellness And Resiliency in Education)* program. The Arkansas AWARE program is intendedto support public schools with the implementation of direct mental health services, promotion of mental health care awareness, and implementation of trauma informed practices.

**ELIGIBLE ENTITIES**

All Arkansas public school districts are eligible to apply for grant funding up to $10,000 to provide direct mental health services, promote school mental health awareness, or implement trauma informed programming. Existing Arkansas AWARE designated sites may not apply.

As a requirement of the application process, districts must complete the Bronze Level School Mental Health Profile within the School Health Assessment and Performance Evaluation (SHAPE) system. The district will need to create a district level login and complete the following sections of the School Mental Health Profile: Students Served and Data Systems, Staffing, and Services and Supports. (<https://theshapesystem.com/>). The Bronze Level SHAPE Certificate of Completion should be included with the application packet submission.

**REPORTING & EVALUATION REQUIREMENTS**

Quarterly progress and financial reporting will be required of grantees. **NOTE: During the funding cycle,** **failure to achieve benchmarks, provide a designated representative at all required grant related training sessions, or submit all required reports may result in termination of the grant and financial support.**

Required grant reports include but are not limited to:

* Mid-year and year-end progress report
* Year-end financial report
* Project Performance Objective Report

**PROFESSIONAL DEVELOPMENT REQUIREMENTS**

A school-designated representative (preferably a designated district school-based mental health coordinator) must attend all meetings required by the grant project.

**FUNDING CRITERIA AND GUIDELINES**

The maximum grant award is $10,000 for a 6-month funding cycle. Proposed costs must be considered reasonable and necessary to carry out the purpose and objectives set forth in the approved application. Funds may be used only to supplement, not supplant, any federal or state mandates.

* Grant funds will be disbursed to grantees on a reimbursement basis.
* Grant funds must be kept separate from all other funding sources.
* All grant funds must be expended according to the DESE approved budget by June 30th, 2022.
* Grantees will be required to submit a final report packet by August 1, 2022, to include:
  + End-of-Project Financial Report (This report must include an expenditure audit trail (EAT).)
  + End-of-Project Performance Objective Report (This report must include outcomes related to goals and objectives set forth in the application,)

**BUDGET CATEGORY/GUIDELINES**

The following budget categories are available for this project funding.

PERSONNEL

**Salary/Fringe Benefits**

Grant funds may only be used to support personnel related costs associated with a district employed mental health clinician/school-based mental health coordinator.

OPERATING EXPENSES

Training and conference fees for professional development related to program goals to support district staff, general program related supplies, other related operating costs

TRAVEL

**In-state Travel**

Any expense directly related to SBMH staff travel within the state of Arkansas to carry out related duties and requirements (i.e., mileage, lodging, meals, etc.)

**Out-of-State Travel**

Any expenses directly related to SBMH staff travel outside the state of Arkansas to carry out related duties and requirements (i.e., mileage, lodging, airfare, meals, etc.)

CONTRACT SERVICES

To supplement non-billable direct mental health services (contracting with a mental health agency for additional and necessary non-billable services).

**SUBMISSION GUIDELINES**

School districts should submit applications to [Elizabeth.Kindall@ade.arkansas.gov](mailto:Elizabeth.Kindall@ade.arkansas.gov). Applications should be submitted as a single PDF file attachment. The email subject line should reference the “2022 AWARE Mini-Grant Application”. Applications will be accepted through Wednesday, December 1, 2021, or until funds are depleted.

**For questions related to this request for applications, please contact the Arkansas AWARE State Project Coordinator**

Betsy Kindall, Ed.D.

[Elizabeth.Kindall@ade.arkansas.gov](mailto:Elizabeth.Kindall@ade.arkansas.gov)

870.302.3094

**COMPLETED GRANT APPLICATION PACKETS MUST INCLUDE THE FOLLOWING:**

SECTION I. Applicant Information Form

SECTION II. Project Description (one-page limit)

Required Supporting Documentation: Copy of the SHAPE Certificate of Completion

SECTION III. Project Performance Objective Form

SECTION IV. Project Budget and Budget Narrative (complete the separate Excel file)

SECTION V. Financial Management System Narrative

SECTION VI. Signed Grant Terms and Conditions Agreement



**Arkansas AWARE Advancement**

**School Mini-Grant**

**Discretionary Grant Application**

**SECTION I: APPLICANT INFORMATION FORM**

**Joint Use Agreement**

**Discretionary Grant Application**

**Section I:APPLCANT INFORMATION**

### This form must be completed by entities or individuals applying for discretionary grant funds from the Division of Elementary and Secondary Education.

**DESE Contact Information:**

|  |  |
| --- | --- |
| Program Manager | Elizabeth Kindall |
| Email address | [Elizabeth.Kindall@ade.arkansas.gov](mailto:Elizabeth.Kindall@ade.arkansas.gov) |
| Phone number | 870-302-3094 |

#### SECTION IA: APPLICANT INFORMATION

|  |  |
| --- | --- |
| District Name |  |
| District Tax Identification Number |  |
| District DUNS Number |  |
| District LEA |  |
| Grant Authorized Contact Name |  |
| Grant Authorized Contact Position |  |
| Grant Recipient Address |  |
| Grant Authorized Contact Phone Number |  |
| Grant Authorized Contact email |  |

**SECTION IB: GRANT INFORMATION (TO BE COMPLETED BY ADE)**

|  |  |
| --- | --- |
| Grant Award Total Amount | $10,000.00 |
| Grant Award Period of Performance | June 30, 2022 |
| Grant Award Purpose | Advancing Wellness And Resiliency in Education (AWARE) |

|  |  |
| --- | --- |
| ADE Cost Center | 349460 |
| ADE Fund Center | 650 |
| ADE Fund Code | FEE9917 |
| ADE WBS Element/IO | F0500AWARE21-2 |
| APSCN Source of Funds | 6778 |
| APSCN Revenue Code | 45938 |
| Award Amount |  |

|  |  |
| --- | --- |
| Indirect Cost Rate | 16% |

\*DUNS number assignment is free and is required to receive funds from the DESE. DUNS numbers can be obtained at: [www.dnb.com](http://www.dnb.com/).

## SECTION II: PROJECT DESCRIPTION

Provide a detailed summary outlining the project including goals and objectives as they are listed on the Performance Indicators Form. Ensure that the project summary addresses the AWARE program goal of providing direct mental health services, promote mental health care awareness, or trauma informed practices. This summary should be no more than one page.

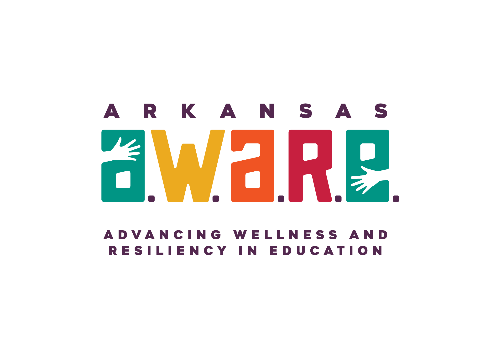
**\*PROJECT DESCRIPTION SUPPORT DOCUMENT**

As a requirement of the application process, districts must completed Bronze Level School Mental Health Profile within the School Health Assessment and Performance Evaluation (SHAPE) system. (<https://theshapesystem.com/>). The Bronze Level SHAPE Certificate of Completion should be included with the application packet submission.

**SECTION III: PROJECT PERFORMANCE OBJECTIVE**

All grant applications must provide a description of how the program will be evaluated for effectiveness. Generally, one or more program performance measures should be established for each objective that demonstrates whether the recipient is making progress towards meeting each project goal/objective listed in **Section II, Program Description.** For each performance measure, a target level of performance must be established to compare to actual performance data to demonstrate the recipient’s progress towards meeting or exceeding their target level of performance.

**Note:** Approved applicants will be required to submit an annual grant performance report using the program objectives provided in this application.



Division of Elementary and Secondary Education (DESE)

2022

Arkansas AWARE

Mini-Grant Project

Project Performance Objective Form

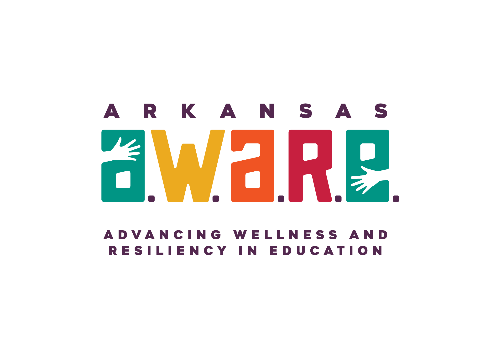
School District LEA Number

**State Level Program Goal: Increase direct mental health services and promote mental health awareness and trauma informed practices.**

**District Level Program Goal:**

|  |  |  |  |
| --- | --- | --- | --- |
| **1. Performance Measure** | **Target Level of Performance** | **Actual Level of Performance** | **Date of Achievement** |
|  |  |  |  |

**Provide a brief overview of activities:**

Division of Elementary and Secondary Education (DESE)

2021

Arkansas AWARE

Mini-Grant Project

Project Performance Objective Form

School District **XXX School District** LEA Number **XXXX**

**State Level Program Goal: Increase direct mental health services, promote mental health awareness and trauma informed practices.**

**District Level Program Objective: By June 2022, the XXX School District will increase the number of staff trained in Trauma Informed Practices by 50%.**

|  |  |  |  |
| --- | --- | --- | --- |
| **2. Performance Measure** | **Target Level of Performance** | **Actual Level of Performance** | **Date of Achievement** |
| **Increase the number of staff trained in Trauma Informed Pracitces in the district by 50%.** | 50% of district staff will be trained in Trauma Informed Practices. |  | 6/30/22 |

**Provide a brief overview of activities:**

**The district will hold a training on Trauma Informed Care and ACEs on 5/1/22. Participation is at least 50% of district staff. Information about staff wellness, trauma informed practices and ACEs will be communicated with district staff to engage and encourage attendance. Multiple opportunities will be made available for staff to register to attend.**

**THIS IS AN EXAMPLE**

**SECTION IV: PROJECT BUDGET & BUDGET NARRATIVE**

The applicant must complete the “**DESE Grant Budget and Budget Narrative Form”** as part of the grant application. Applicant budgets must provide sufficient detail for the program staff to conduct a cost analysis of the applicant’s budget. The budget narrative should explain, in detail, what will be purchased.

\*The template budget and budget narrative is attached to the Commissioner’s Memo as an excel file.

**The amount of the budget must match the amount of grant funds requested in the application.** Line item budget changes that exceed 10% of the total grant award amount must be pre-approved in writing by the program manager. All costs must be budgeted in the grant recipients approved application to be eligible to be charged to the grant. Only costs included in the approved budget will be reimbursed.

## SECTION V: FINANCIAL MANAGEMENT SYSTEM NARRATIVE

### All applicants must provide a narrative describing their accounting system and financial management system that the recipient has in place in order to properly administer grant funds. As a recipient, you must have a financial management system in place that is able to record and report on the receipt, obligation, and expenditure of grant funds. In your description of your accounting system, please provide a description of the following:

* Internal controls - Your system should allow you to exercise effective control and accountability for all cash, real and personal property, and other assets. As a grant recipient, you must adequately safeguard all such property and assure that it is used solely for authorized purposes.
* Budget controls - Your system must allow for the comparison of expenditures with budget amounts for each grant award.
* Allowable costs - Your system must provide procedures for determining the reasonableness, allowability, and allocability of costs.
* Source documentation - Your system must require records that identify the source and application of grant funds. These records must contain detail regarding the obligation of funds, unobligated balances, assets, expenditures, income and interest and be supported by adequate source documentation.
* Cash management – An adequate system will require you to minimize the time between the receipt and the expenditure of grant funds, when funds are received in advance.

The applicant may provide the existing written financial management policies and procedures in order to meet this requirement.

Grant recipients must demonstrate the responsibility, financial management capacity and fiscal integrity necessary to adequately and appropriately manage awarded funds.

**Section VI: GRANT TERMS AND CONDITIONS AGREEMENT**

#### General and Fiscal Guidelines

The general and fiscal guidelines describe the process, requirements and terms applicable to all discretionary grants that DESE administers. DESE awards grants to non-federal entities such as local educational agencies (LEAs), and education service cooperatives (ESCs), institutions of higher education (IHEs), and nonprofit organizations (NPOs). It includes a summary of the terms of the grant award between ADE and the grantee and a list that includes but is not limited to the federal rules, laws, and regulations that apply to all state and federal programs. DESE reserves the right to reject any and all applications and to negotiate portions thereof.

#### Program-Specific Guidelines

Program-specific guidelines may be provided in the **General and Fiscal Guidelines,** if applicable**.** Program-specific guidelines will provide any information about the specific grant program, including the purpose of the grant, eligibility criteria, program description, statutory requirements, and any specific application review criteria. Program-specific guidelines may also include any specific requirements regarding the allowability of certain types of costs as related to a specific grant program and any program-specific evaluation measures. Any additional program-specific guidelines will be listed in this section.

#### Funding Contingency

Grant funding is subject to the availability of funds appropriated by legislative act for the purpose stated in the grant award. DESE reserves to right to reduce or void the grant award upon appropriated funds becoming reduced or unavailable. In addition, a grant agreement may be terminated by DESE at any time for any reason upon notice to the grant recipient.

#### Mandatory Disclosures

Grant recipients must disclose, in a timely manner, in writing to DESE all violations of criminal law involving, but not limited to fraud, bribery, or gratuity violations potentially affecting the grant recipient. Failure to make required disclosures can result in any of the actions described in the **Failure to Comply** section.

#### Failure to Comply

If the grantee fails to comply with any of the terms of the grant award, whether stated in a federal statute or regulation, an assurance, a state plan, application, grant award notification, or elsewhere, DESE may take one or more of the following actions:

* Temporarily withhold payments pending correction of the deficiency by the grant recipient;
* Disallow or deny both use of funds and matching credit for all or part of the cost of the activity or action not in compliance with the grant;
* Wholly or partly suspend or terminate the grant award;
* Withhold further awards for the grant program; or,
* Take other remedies that may be legally available

#### Right to Reduce Funding

DESE reserves the right to reduce funding if the initial funding projections are determined not to have been realistic based upon the number of actual applicants or other factors. Should additional funds become available for distribution, DESE will determine how these funds will be distributed.

#### Commencement and Performance of Project Activities

The grantee must commence and perform project activities according to established timelines. Failure to do so may result in reduction and reallocation of funds.

#### Right to Revoke

ADE reserves the right to revoke a grant award for reasons including but not limited to the following:

* Noncompliance with the specified purpose of the grant award
* Failure to account for grant funds in accordance with standards for financial management, to retain proper documentation for grant expenditures, or to provide information to auditors or program monitors
* Failure to provide accurate, timely, and complete information as requested by DESE to evaluate the effectiveness of the grantee

# DESE Grant Application Elements

#### DESE Grant Application Elements

#### Suspension and Debarment

All applicants must have both a Data Universal Numbering System Number (DUNS) and Taxpayer Identification Number (TIN) registered in the System for Award Management (SAM), the U.S. Federal Government’s primary registrant database. Each applicant must maintain an active SAM registration that will be verified by DESE program staff before an application is deemed eligible for funding. DUNS number assignment is free and is required to receive funds from the ADE. DUNS numbers can be obtained at: [www.dnb.com.](http://www.dnb.com/)

For grants that are expected to equal or exceed $25,000 using federal funds, the program manager will verify that the grant recipient is not suspended or debarred or otherwise excluded by checking the Excluded Parties List System (EPLS) maintained by the General Services Administration (GSA), prior to entering into the agreement. The electronic version of EPLS is located on the [www.sam.gov](http://www.sam.gov/) website.

#### Program Description

All grant applications must provide a narrative regarding the description of the program to be funded with the grant. This narrative must include program goals/objectives and the activities of the grant that will be implemented to meet the goals. Applicants should provide a timeline for the completion of the activities listed. Program objectives must be included and should clearly identify what the grant funding will accomplish. Goals/objectives should lend themselves to either quantitative or qualitative measurement. Approved grant applicants will be required to report on these objectives when program performance reporting is completed.

#### Program Evaluation

All grant applications must provide a description of how the program will be evaluated for effectiveness. Generally, one or more program performance measures should be established for each objective that demonstrates whether the recipient is making progress towards meeting each project objective. For each performance measure, a target level of performance must be established to compare to actual performance data to demonstrate the recipient’s progress towards meeting or exceeding their target level of performance.

#### Budget and Expenses

All grant applications must include a program budget and budget narrative. The budget narrative should explain in detail what will be purchased with grant funds. The applicant must complete the “**DESE Grant Budget and Budget Narrative Form”** as part of the grant application. See **Specific Elements of Costs** for individual requirements for the allowability and allocability of costs listed in the grant recipient’s budget. Applicant budgets must provide sufficient detail for the ADE program staff to conduct a cost analysis of the applicant’s budget. Costs budgeted and expended be:

* Necessary for the proper and efficient performance and administration of the grant;
* In accordance with generally accepted accounting principles (GAAP); **\***
* Adequately documented and justified;
* Incurred specifically for the purpose of the grant
* Treated consistently with costs used for the same purpose in similar circumstances.
* Generally accepted accounting principles (GAAP) are the standard framework of guidelines and financial accounting used in any given jurisdiction.

#### Financial Management System

All applicants must provide a narrative describing the grantee’s accounting system and financial management system. Applicants must have a financial management system in place that allows them to properly administer grant funds. Applicants will be reviewed to determine that the grantee’s financial management system provides for the following:

* + Identification in the grantee’s accounting system of the grant award received and expended under which they were received;
  + Accurate, current, and complete disclosure of the financial results of each grant award or program;
  + Records that identify adequately the source and application of grant funds. These records must contain information regarding the obligation of funds, unobligated balances, assets, expenditures, income and interest and be supported by source documentation;
  + Effective control over and accountability for, all funds, property, and other assets;
  + Comparison of expenditures with budget amounts for each grant award

The applicant may provide their existing written financial management policies and procedures in order to meet this requirement.

Grant recipients must demonstrate the responsibility, financial management capacity and fiscal integrity necessary to adequately and appropriately manage awarded funds.

#### Conflict of Interest

Grant recipients must disclose in writing any potential conflict of interest between the recipient and ADE employees. In addition, all grant recipients (excluding government agencies and educational institutions) that receive in excess of $25,000 will be required to complete the “**Contract and Grant Disclosure and Certification Form.**”

#### Application Review Process

Applications for funding will only be reviewed for funding if the applicant is eligible, the application is complete and the application is received by the submission deadline. Applications must be signed by the official authorized to apply for grant awards for the grantee. As part of the application review process, DESE program and finance staff will perform financial and program performance reviews of all applicants. Applicants selected for funding must sign a **Grant Award Agreement** with DESE which will contain specific details about the grant award.

# Specific Elements of Costs

#### Allocable Costs

The following guidelines apply to allocable costs:

* + A cost is allocable to a particular grant in accordance with the relative benefits received if it is treated consistently with other costs incurred for the same purposes in like circumstances and if it meets the following:
  + Is incurred specifically for the grant
  + Benefits both the grant and other work and can be distributed in reasonable proportion to the benefits received
  + Be distributed in reasonable proportion to the benefits received

Any cost allocable to a particular grant or other cost objective may not be shifted to other federal awards (or state awards, if state-funded) to overcome funding deficiencies or to avoid restrictions imposed by law or by the terms of the grant award.

#### Allowable Costs

For costs to be allowable to be charged to a grant, costs must generally meet the following criteria:

* + Be necessary and reasonable for the performance of the grant and be allocable under the applicable cost principles
  + Conform to limitations or exclusions set forth in the grant agreement as to types or amount of costs
  + Be consistent with policies and procedures that apply uniformly to federally or state- funded activities and activities funded from other sources
  + Be determined in accordance with generally accepted accounting principles (GAAP)
  + Be adequately documented.

#### Unallowable Costs

Costs not included in the approved grant budget, including approved budget revisions, will not be reimbursed by DESE. Any costs that are incurred either before the start of the grant award or after the expiration of the grant award performance period are not allowable.

#### Commingling of Funds

Grant recipients must not deposit or record funds in a general account without the ability to identify each specific source of funds for any expenditures, which is known as commingling of funds. Commingling of grant recipient funds is prohibited. Funds from each Federal, State, local, and private funding source must be identified with a clear audit trail for each source. The

accounting systems of all grant recipients must ensure that grant funds are not commingled with funds from other State or Federal agencies or private entities. Funds specifically budgeted and/or received for one project may not be used to support another.

#### Travel Expenses

Grant recipients must follow DESE travel regulations for the reimbursement of meals, lodging and mileage reimbursement. For meals and lodging, only actual travel expenses may be claimed up to the daily travel maximums for meals and lodging listed in the GSA Per Diem Rates provided on the U.S. General Services Administration website. For mileage reimbursement purposes, the rate of mileage reimbursement will be limited to the standard mileage rates for business listed on the Internal Revenue Service’s website.

#### Indirect Costs

Indirect costs, if allowed, will be limited to the rate listed in the grant award agreement. For **state funded** grants that are awarded to an educational service cooperative (ESC), a standard 5% indirect cost rate will be permitted, if indirect costs are allowed.

#### Property and Equipment Management

Grant recipients must use, manage and dispose of equipment acquired under a grant award in a prudent manner. Equipment purchased with state or federal grant funds must be used in the grant for which it was purchased. Property records must be maintained that include a proper description of the property, serial/identification numbers, source of funding for the property, the acquisition date, costs of the property, the location, used and condition of the property, and any disposition data including the date of disposal and sale price of the property. A physical inventory of the property must be taken and the results reconciled with the property records at least annually. An adequate control system must be developed to ensure adequate safeguards to prevent loss, damage, or theft of property. Adequate maintenance procedures must be developed to keep property in good condition. Grant recipients should obtain approval from ADE before disposal or sale of equipment purchased with state or Federal grant funds. If the request is authorized, proper sales procedures must be established to ensure the highest possible return.

#### Obligation of Funds

Program funds shall not be obligated for expenditure before the beginning date of the grant or after the ending date of the grant. Funds may be requested only for those items that are reasonable and necessary for accomplishing the objectives of the program and for implementing activities as described in the grant recipient’s approved application. Costs that are reasonable are defined as those costs that are consistent with prudent business practice. A cost can be considered reasonable if it meets the following standards:

* + The cost is of a type generally recognized as ordinary and necessary for the performance of the grant;
  + Restrictions or requirements are imposed for generally accepted, sound business practices, arms-length bargaining, federal or state laws and regulations, and grant award terms and conditions.

Costs that are necessary are those costs that are essential to accomplish the objectives of the grant program. All items requested must be allowable expenditures under the authorizing program statutes, regulations, and rules.

The grantee must receive the benefit and liquidate all obligations incurred under the grant award no later than the ending date of the Grant Award Performance Period.

#### Carryover of Grant Funds

All encumbrances/obligations shall occur on or between the beginning and ending dates of the Grant Award Performance Period specified in the grant award notification.

Grant recipients should receive the benefit and liquidate obligations incurred under the grant award during the Grant Award Period of Performance.

However, carryover of **non-federal** grant funds may be permitted, if necessary to complete the purposes of the grant.

Carryover of prior year non-federal grant funds of 25% or greater will require a justification letter from the Assistant Commissioner in charge of the grant to the GPC. The final approval of the carryover will be provided by the Commissioner on the Grant Carryover form, previously signed by the grantee, which includes the revised grant award ending date.

Carryover of non-federal grant funds less than 25% may be permitted with approval from the Assistant Commissioner in charge of the grant on the Grant Carryover form, previously signed by the grantee, which includes the revised grant award ending date.

Non-federal funds approved for carryover must be expended or returned to the ADE by the revised grant award ending date, which shall be no later than 90 calendar days past the original ending date.

# Post-Award Activities

## Payment

#### Initial Grant Payment

After all necessary approvals have been obtained for the grant, funds will be considered obligated to the recipient. Grant recipients must be in compliance with all program, fiscal and reporting guidelines to be eligible to receive payment. Also, prior to submitting payment requests under a grant award/MOU to the DESE Finance Office, the Finance Office must first have the original hard copy and a PDF electronic copy on file, including the **Contract/Grant Award Routing Form** with all required approvals before payments will be made.

Payments to grant recipients must minimize the time elapsing between the transfer of funds to the grant recipient and the expenditure of these funds by the grantee. Funds will not be paid in a lump sum, but be disbursed over time as costs are incurred or anticipated. DESE will initially advance **no more than 50%** of the grant award to the recipient at the start of the grant award period. This is the **maximum percentage** of funds that may be advanced to the recipient, and should only be provided to recipients that have an **immediate requirement or use for the funds. Most grant recipients will not require 50% initial grant funding.** Advance payments to grant recipients must be limited to the **minimum amounts** needed and in accordance with the immediate cash requirements of the grantee in carrying out the purpose of the grant.

#### Remaining Grant Payments

#### After the initial grant award funds have been advanced to the recipient at the start of the grant award period, there are three types of disbursement methods for the remaining grant funds.

However, reimbursement is the preferred payment method for remaining grant funds.

##### Reimbursement – COGNOS Data Warehouse

LEAs/ESCs may receive monthly reimbursement payments based on their COGNOs district warehouse reports. For recipients paid through this method, program managers will be required to submit quarterly APSCN budget/expenditure reports to the GPC which should be reviewed by program staff to ensure that budget categories are not overspent.

##### Reimbursement Basis

Grant recipients (LEA and non-LEA) that are not reimbursed through monthly COGNOS data pulls will be required to complete an **“DESE Grant Budget Reimbursement Request.”** The request lists the budgeted amounts by category from the approved grant budget, actual expenditures, remaining budget balance and grant funding received by the recipient. For grant recipients reported in APSCN, supporting documentation in the form of Board Reports and Detailed Expenditure Reports are required and should be attached to the reimbursement request. For grant recipients that are not reported in APSCN, supporting documentation for actual expenditures will be required to be included with the reimbursement request. Supporting documentation should be in the form of invoices, bills for goods and services, employee payroll and travel reimbursements.

**Note:** Payment requests for r**eimbursements** should be sent to the appropriate ADE Finance staff member for payment processing. Reimbursement payment requests should **NOT** be sent to the GPC.

##### Advance Payments

Advance payments to grant recipients may be necessary, in some instances. Advance payments must be limited to the **minimum amounts** needed and in accordance with the immediate cash requirements of the grantee in carrying out the purpose of the grant.

For state-funded grant awards, fund advances may be requested no more frequently than on a

**quarterly** basis.

For Federally funded grant awards, fund advances will be limited to immediate cash requirements for a month in advance. Fund advances may be requested no more frequently than on a **monthly** basis.

Fund advance payment requests for non-LEA recipients must have a completed **“DESE Grant Budget Reimbursement Request.”** Non-LEA recipients must provide a financial status report that provides detail regarding grant funds received, expended and remaining cash balances and must be attached to the request.

Fund advance payment requests for LEAs should be submitted to the GPC on a conversion spreadsheet. The GPC will review the monthly COGNOS data warehouse download ending balances before any advance payments will be approved for processing.

All **advance payment** requests **must** be sent to the GPC for approval prior to payment processing All costs must be budgeted in the grant recipients approved application to be eligible to be charged to the grant. Only costs included in the approved budget will be reimbursed. Line item budget changes that exceed 10% of the total grant award amount must be pre-approved in writing by the program manager.

#### Required Certifications

In order to assure that expenditures are proper and in accordance with the terms and conditions of the grant award and approved budget, an official authorized to legally bind the grant recipient must certify all financial performance reports (**“DESE Grant Budget and Budget Narrative Form”)** and payment requests (“**DESE Grant Budget Reimbursement Request**”) by signing the following certification.

“By signing this report, I certify to the best of my knowledge and belief that the report is true, complete, and accurate, and the expenditures, disbursements and cash receipts are for the purposes and objectives set forth in the terms and conditions of the grant award. I am aware that any false, fictitious, or fraudulent information, or the omission of any material fact, may subject me to criminal, civil or administrative penalties for fraud, false statements, false claims or otherwise.”

#### Reporting Requirements

Grant recipients will be required to submit both financial and program reports describing the status of the funds, the status of the project, a comparison of actual accomplishments to the objectives, the reason goals have not been met, and any other pertinent information. Program performance objectives and performance measures must be established for all grant award recipients. Program performance goals and objectives should be included in the **DESE Grant Application, Section II, Program Description**. The grant application must include program objective(s) stating the goal for the grant funding. Generally, one or more program performance measures should be established for each objective that demonstrates whether the recipient is making progress towards meeting each project objective. For each performance measure, a target level of performance must be established to compare to actual performance data to demonstrate the recipient’s progress towards meeting or exceeding their target level of performance. Performance measures to be evaluated and target levels of performance should be provided in the **DESE Grant Application, Section III, Program Evaluation**. All discretionary grant recipients will be required to submit financial and program performance reports, as required below:

* + Financial performance reports must be submitted to the ADE program manager on a semi-annual basis. (Using the **“DESE Grant Budget and Budget Narrative Form”**) Reports must be received within 30 days after the close of the reporting period.

For grant recipients reported in APSCN, supporting documentation in the form of Board Reports and Detailed Expenditure Reports are required and should be attached to the semi-annual financial performance report. For grant recipients that are not reported in APSCN, supporting documentation for actual expenditures will be required to be included with the semi-annual financial performance report. Supporting documentation should be in the form of invoices, bills for goods and services, employee payroll and travel reimbursements.

* + Program performance reports must be submitted to the ADE program manager on an annual basis. (Using the **“DESE Grant Performance Report Form”**) Reports must be received within 30 days of the end of the grant award performance period. Semi-annual financial reports must be submitted to the ADE GPC within 45 days after the prior 6 month reporting period. Program performance reports must be submitted to the ADE GPC within 45 days after the end of the grant award performance period. All financial and program performance reports must be sent to the ADE GPC by the applicable ADE program manager for the grant.

Financial Performance Reporting Deadlines (July 1st - June 30th grant performance period)

|  |  |  |
| --- | --- | --- |
| Financial Reporting Period | Report Due to ADE Program Manager | Report Due from ADE Program Manager to GPC |
| July 1st – December 31st | January 30th | February 15th |
| January 1st – June 30th | July 30th | August 15th |

Program Performance Reporting Deadlines (July 1st - June 30th grant performance period)

|  |  |  |
| --- | --- | --- |
| Program Reporting Period | Report Due to ADE Program Manager | Report Due from ADE Program Manager to GPC |
| July 1st – June 30th | July 30th | August 15th |

ADE reserves the right to suspend or revoke grant payments to grant recipients that do not timely submit financial and performance reports in a timely manner.

#### Monitoring

Grant recipients may receive desk or on-site monitoring reviews by DESE as deemed necessary to determine compliance with the approved Application and the applicable statutes, laws, regulations, and guidelines of the grant. All requested grant records must be provided to DESE staff as necessary for monitoring purposes.

#### Record Retention

Financial records, supporting documents, statistical records and all other records pertinent to the grant award shall be retained by the grant recipient for four years following the end of the grant award performance period. The retention requirement extends to books of original entry, source documents supporting accounting transactions, the general ledger, subsidiary ledgers, personnel and payroll records, cancelled checks, and related documents and records.

* + Source documents include paper or electronic copies of all grant awards, applications and required financial and narrative reports.
  + Personnel and payroll records shall include the signed time and attendance reports for all individuals included in the project, whether they are employed full-time, part-time, or on a volunteer basis.
  + Time and effort reports are required for employees with grant-funded salaries.

Grant recipients must further agree to permit access to these records to ADE program or fiscal staff, or any of their authorized representatives, as needed for monitoring purposes.

#### Continuation/Extension of Funding

A continuation/extension of grant funding may be awarded in a subsequent year following the initial grant award period of performance. All grant continuation funding will be subject to the availability of funds appropriated for the grant. Before a grant recipient is determined to be eligible for a continuation of a grant award, ADE program staff must perform a risk analysis of the recipient. In evaluating risks posed by the recipient, ADE program staff must consider the following:

* The results of previous financial and performance reports
* Unresolved Federal Single Audit or financial statement audit findings that have not been sufficiently addressed, as determined by the GPC.
* Any issues or concerns noted in routine monitoring
* Balances of prior grant awards that are unused
* Substantial turnover in key personnel
* Failure to comply with program and fiscal reporting requirements

Final approval for continuation/extension of grant funding will be determined by the Assistant Commissioner of Fiscal & Administrative Services.

#### Closeout

The closeout of the grant should begin as soon as the program is completed and all funds have been spent. A grant must be closed as soon as the first of the following items occurs:

* The grant award performance period has ended
* All required financial and program reports have been received and approved by DESE;
* All grant funds have been either properly expended by the recipient or returned to DESE by the recipient for unused funds.
* The DESE GPC has given approval to close the grant.

Grant recipients must complete the following actions at the close of the grant award as defined below:

* + Grant recipients must present any requests for reimbursement that were incurred prior to the expiration of the grant award to DESE
  + Any grant funds not liquidated at the end of the period of performance will lapse and may be requested to be returned to ADE, unless carryover approval has been obtained. Refunds of grant funds from recipients will be due to ADE within 30 days of notification that a refund is due.
  + A final financial performance report must be submitted to DESE program staff within 30 days after the grant closure date. (Using the **“DESE Grant Budget and Budget Narrative Form”**) Before a grant may be closed out, any remaining balance of grant funds must be promptly returned by the grant recipient to ADE. Reports that have a remaining balance of funds may not be closed.
  + A final program performance report must be submitted to DESE program staff within 30 days after the grant closure date. (Using the **“DESE Grant Performance Report Form”**) This report must be reviewed to ensure that the grant recipient has achieved or progressed toward the achievement of all program goals and objectives.

Signature certifies that the information in this application is correct and applicant will comply with current federal and state laws and regulations and the provisions of this application. The applicant certifies, by submission of this application, that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.

By signing below, the applicant is indicating that they have read and agreed to comply with all the terms and conditions of the grant.

#### Recipient Authorized Representative Name and Title

**Date**