



OFFICE OF ATTORNEY GENERAL DEREK SCHMIDT
VICTIM SERVICES DIVISION
120 SW 10TH AVENUE, 2ND FLOOR
TOPEKA, KANSAS 66612-1597
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SFY 2017

HUMAN TRAFFICKING VICTIM ASSISTANCE FUND

GRANT REPORTING REQUIREMENTS

REPORTING REQUIREMENTS

RECORD RETENTION

The Office of the Attorney General (OAG) requires that all Programmatic and financial records (copies of grant applications, assurances, reports, correspondence, expenditure receipts and supporting documentation, grant specific activity logs, timesheets, payroll records, etc.) must be maintained by your agency for a period of five years past the close of the grant project period.

PROCEDURES TO OPEN GRANT AWARD

The following grant award documents must be submitted to the Office of the Attorney General before the 2017 HTVAF grant award is considered open:

GRANT ASSURANCES

Please read the grant assurance thoroughly and note the Special Conditions section. The 2017 HTVAF grant assurances, complete with appropriate initials and signatures, and any other required 2017 HTVAF Special Conditions, due by the same date, must be submitted to the OAG per the terms in the 2017 HTVAF grant award letter and 2017 HTVAF grant assurance.

GRANT PROJECT NUMBER

Please note the Grant Project Number assigned to the grant project. Please use this Project Number in the subject line in all emails and communications with the OAG regarding this grant.

GRANT AWARD BUDGET – INITIAL REVISION

Awards will be rounded to even dollar amounts. If the award amount in the grant assurance differs from the amount requested in the 2017 HTVAF grant application, a budget revision is required to match the amount of the award.

Follow the following procedures when filing the initial 2017 HTVAF Grant Budget Revision request:

- Complete a revised Budget Project Narrative, reflecting the reallocation of funds from one approved line item to another. This form must be filled out completely and signed by the Executive Director, President of the Board, and Treasurer of the Board for the request to be considered. The total expenditures listed on the revised Award Budget Narrative must equal the Award Amount stated in the grant assurance.

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GRANT AWARD DOCUMENTS SUBMITTED BY MAIL

Submit the 2017 HTVAF Revised Budget Narrative spreadsheet, with **original signatures**, to the OAG, postmarked by the due date specified in the award grant assurance to the following address:

OFFICE OF ATTORNEY GENERAL DEREK SCHMIDT
VICTIM SERVICES DIVISION
ATTN: KATHY HOLM - HTVAF
120 SW 10TH AVENUE, 2ND FLOOR
TOPEKA, KANSAS 66612-1597

REPORT FILING – GENERAL INSTRUCTIONS



NEW THIS YEAR: All scanned grant reports must be uploaded by 11:59 pm on the due date of the report on our OAG Grant Reports website: <http://ag.ks.gov/victim-services/grants/upload-grant-reports>

Please continue to call Kathy Holm (785-368-8305) regarding your questions about the grant program.

NOTE: All reports must be filed on forms created for the new grant period. Each grant program has its own unique reporting requirements and forms, so visit the Victim Services Division website for the electronic version of grant documents. These documents must be downloaded from the website and saved to your computer. Any updates to these forms during the grant year will be emailed to your agency's Executive Director and updated on our website as well.

All HTVAF reports are due by 11:59 pm on the 30th of the month following the end of the required reporting period. If mailed, the report must be post marked by the due date. When the due date falls on a weekend or holiday, the reports are due by midnight the next business day. Once the grantee uploads a report, please print the webpage denoting that the upload was successful. Please do not duplicate this filing on the OAG website with a faxed, emailed, or mailed copy.

GRANT REPORTING FORMS

The following reports are required if funding under the 2017 HTVAF grant is awarded:

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ABBREV	TYPE OF REPORT	PURPOSE	REPORTING PERIOD
FSR	Financial Status Report	Provides fiscal information regarding expenditures during the reporting period.	Quarterly and Final
EIR	Equipment Inventory Report	Provides a summary of grant-funded equipment purchased during the reporting period. File only if equipment is an approved line item through this grant.	Quarterly
PSR	Project Statistical Report	Provides a summary of services provided and data regarding numbers served.	Quarterly
HTSR-Agency	Human Trafficking Statistical Report (AGENCY-WIDE)	Provides summary data regarding number of Human Trafficking victims served by the entire <u>AGENCY</u> . Also includes summary data regarding demographic information and types of service provided.	Quarterly
PNR	Project Narrative Report	Provides a quarterly update on the status of the grant project goals, objectives and tasks.	Quarterly
PFER	Projection of Final Expenditures	Provides notification to the Office of Attorney General of anticipated expenditures through the end of the grant year.	Annual Report
PSV	Project Site Visits	Grant monitoring and on-site visits will be conducted by the Attorney General's staff.	Annual

Quarterly Financial Status Report (FSR)

All FY 2017 HTVAF Quarterly Financial Status Reports (FSRs) (Quarters 1, 2, 3 and 4) are required and must be filed with the OAG on or before the due date. If no expenditures were made, the grantee must file a report reflecting zero expenditures. Round all expenditures to the nearest whole dollar. The FSR Excel spreadsheets are linked and many cells contain formulas that compute totals and percentages. Use the SFY 2017 HTVAF FSR furnished to all awardees by the grant monitor.

Fourth Quarter Obligations

If the grantee incurs obligations during the fourth quarter of the grant year that will be paid in the first month following the end of the grant project period (July), the grantee must report the obligations (obligated, but not yet paid) in the "Obligations" Column of the Quarter 4 FSR.

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Final Financial Status Report (FSR)

All grantees must file a FY 2017 HTVAF Final Financial Status Report (FSR). If no expenditures are reported in the “Obligations” column of the Quarter 4 FSR, the grantee must file a Final FSR, reflecting zero expenditures, and it is due on the same date as the FY 2017 HTVAF Quarter 4 FSR.

If expenditures are reported in the “Obligations” column of the FY 2017 HTVAF Fourth Quarter FSR, the grantee will report the “obligated” expenditures that are paid as of July 31st in the column marked “Period Expenditures.”

If an obligation reported on the Fourth Quarter FSR report is not actually PAID as of July 31st, it may not be reported on the FINAL Financial Status Report and is not eligible for reimbursement from the Office of the Attorney General.

The FINAL FSR is due on July 31st. If that date falls on a weekend or holiday, the report is due by 5 p.m. the next business day. If mailing the report, it must be postmarked by the due date. Final FSRs submitted the due date will not be reimbursed.

Adjustments to Financial Status Reports

No retroactive adjustments may be made to previously filed FSRs unless requested by our Office to correct errors.

If, in an extreme circumstance, a Grantee requires a correction to a previously filed FSR, a grantee must obtain prior authorization to do so. The Grantee may make a written request in a letter on agency letterhead. This request must be signed and dated by the Executive Director, Board President, and Board Treasurer. It is the Grantee’s responsibility to address the following criteria in the letter requesting the change in the previously filed FSR:

- The circumstances that make this situation extreme.
- The amount(s) and an explanation of the reason for the line item change(s) to each previously filed line item.

In some circumstances, the Office of the Attorney General may also require verification that the agency’s auditor supports these changes to previously filed FSR. The auditor must verify in a written letter on the auditor’s letterhead that the revision to the previously filed FSR is necessary and the revised transactions can be executed in the agency’s accounting system during the affected reporting periods. The auditor’s letter and the signed and scanned prior authorization request letter from the Grantee must be uploaded to the OAG Grant Reports website: <http://ag.ks.gov/victim-services/grants/upload-grant-reports>. Please email the grant monitor that you have uploaded the required letters to the website.

The Grantee will be notified by email regarding this request. If approved, the revised FSR is due to our office within 10 business days of the approval. The adjustment(s) must also be made in the agency’s accounting system. Documentation of the approved adjustment(s) in the General Ledger must be submitted to our office at the same time the revised FSR is submitted.

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Projection of Final Expenditures (PFER)

Use actual expenditures for July 1st through March 31st and estimated 4th Qtr. expenditures.

Equipment Inventory Report (EIR)

If the approved Budget Narrative includes the Equipment line item, Grantees are required to file an Equipment Inventory Report with the OAG regarding all equipment purchased with grant funds during the reporting period. The Equipment Inventory Report is due only if equipment is an approved line item through this grant.

Equipment is defined in this grant as assets with a useful life of one year or more and a cost of \$500 or more. This form is available on our website and must be submitted during the period that the equipment purchase is reported on the FSR. If no equipment is budgeted or purchased with grant funds, it is not necessary to file a report.

All equipment purchased with grant funds must be budgeted in the original application and approved by the OAG as part of the grant award. The applicant is responsible for providing justification as to the need and use of the equipment in the budget narrative.

NOTE: The percentage of time the equipment is used for the grant project must be greater than or equal to the percentage of the purchase cost covered by grant funds. The percentage of use must be documented in the grant files and the supporting documentation for this calculation must be available during a site visit. In some instances, this may lead to the usage of a tracking system; however, it is at the grantee's discretion as to how the agency will meet this requirement.

The grantee must follow its agency written policies and procedures when purchasing equipment with these funds concerning purchasing approval, needs assessment, bidding, etc. It is the grantee's responsibility to maintain inventory records that can be reviewed at any time by the Attorney General's staff. As with all grant records, a copy of the report and the invoices should be retained in the grantee's grant file.

Project Statistical Report (PSR)

All HTVAF grantees must file the Human Trafficking Agency-wide Statistical Report each quarter.

The Project Statistical Report (PSR) is due quarterly for the grant project. If no activity took place or no services were provided, report zero statistics and state the reason no activity took place for the reporting period.

Human Trafficking Statistical Report (HTSR)

All HTVAF grantees must file the Human Trafficking Statistical Report (AGENCY-WIDE) (HTSR). The HTSR provides the OAG with data regarding all services provided by your

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agency to victims of Human Trafficking during the reporting period, regardless of funding source. The OAG collects HT victim data for both Primary and Secondary Victims in the two-page HT Data Report.

PLEASE NOTE: If specific demographic information requested in this form would put a specific victim or their children at risk, please do not complete those fields for that victim. Please identify the number of victims for which you have not included demographic information to the left of the word TOTAL in each demographic section where a victim's information was omitted.

Project Narrative Reports (PNR)

The Project Narrative Report (PNR) is due on a quarterly basis and provides information on the status of meeting the project goal(s) and objectives, etc.

The Project Narrative Report also includes information regarding numbers of Human Trafficking victims served for this grant project only. Since the numbers reported on the Project Narrative Report are for the grant project only, the numbers of HT victims served may differ from the numbers reported on the Human Trafficking Statistical Report (AGENCY-WIDE) (HTSR).

Agency and Staff Changes

The OAG must be notified within five (5) days of the following changes:

- Change of personnel in position of Executive Director
- Change in personnel in grant-funded positions
- Change in address, phone, fax or email addresses of the agency contacts listed in the General Information page of the application
- Upload the letter with this information, written on agency letterhead and signed by the Executive Director or President of the Board, to our OAG Grant Reports website: <http://ag.ks.gov/victim-services/grants/upload-grant-reports>
- In the event that this notification fails to occur timely, any grant-funded position will not be funded for the period until such notification has occurred.
- PFA, CVAF and HTVAF Grantees: The OAG must be notified via an email to dorothy.halley@ag.ks.gov and kathy.holm@ag.ks.gov prior to the closing of any shelter facility for any reason. The reason for closure must be clearly stated. The only exception is due to an unforeseen emergency (tornado, fire, etc.), in which case notification must be given as soon as possible.

PAYMENTS

The payment structure for the HTVAF grant allows the OAG to advance an initial twenty (25) percent of awarded funds to the HTVAF grantee, to allow access to working capital in the initial phase of the grant. The initial payment will be made upon receipt of the properly signed original grant assurance, approval of the award budget, and receipt of all other items specified in the special conditions section of the grant assurance. All other payments will be based on the submission of the required reports and items required in the grant assurance. Payments will be made according to the following table:

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Documents Due to The OAG	Reporting Period	Due Date	Upon receipt of required reports and documents, the following will occur:
Signed Assurance, Award Budget Narrative, revised Goals & Objectives, if applicable, and special conditions requirements	N/A	As specified in the Award grant assurance	Payment 1
Financial Status Report * Project Statistical Report Human Trafficking Statistical Report (AGENCY-WIDE) Project Narrative Report	07/01/2016- 09/30/2016	October 30, 2016	Payment 2 Actual Expenditures per FSR
Financial Status Report * Project Statistical Report Human Trafficking Statistical Report (AGENCY-WIDE) Project Narrative Report	10/01/2016 - 12/31/2016	January 30, 2017	Payment 3 Actual Expenditures per FSR
Financial Status Report * Project Statistical Report Human Trafficking Statistical Report (AGENCY-WIDE) Projection of Final Expenditures Project Narrative Report	01/01/2017 - 03/31/2017	April 30, 2017	Payment 4 Actual Expenditures per FSR
Financial Status Report * Project Statistical Report Human Trafficking Statistical Report (AGENCY-WIDE) Project Narrative Report	04/01/2017 - 06/30/2017	July 30, 2017	FINAL Payment will be made if FSR reports expenditures in excess of payments; If FSR reports payments in excess of expenditures, grantee must refund unspent grant funds with final reports
Final Financial Status Report	07/01/2017 - 07/01/2017	July 31, 2017	

*** Financial Status Report, Project Narrative, and Project Statistical Report must show sufficient progress in Grant Activities. Any grantee not meeting guidelines specified in the application will be subject to review and possible termination of funding.**

* - Includes the Equipment Inventory Report, when appropriate.

All reports received by this office that are complete and correct on or before the due date will be issued payment, provided that funds are available from the appropriate state sources and that the grantee is in compliance with all grant awards received from this office.

- Each payment is based on period expenditures as reported on the FSR.
- Grantees submitting a late, incorrect, or incomplete report will not receive a payment until the next scheduled payment for the next reporting period.
- We do not reduce the third quarter payment by the remaining amount in the projection of expenditures report.

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- The final payment will be made after the final FSR is processed and approved.

Per the Uniform Grant Guidance (UGG): Payments must minimize the time elapsing between the transfer of funds from the State and the disbursement by the grantee. A grantee may be paid in advance, provided it maintains or demonstrates the willingness to maintain both written procedures that minimize the time elapsing between the transfer of funds and disbursement by the grantee, and financial management systems that meet the standards for fund control and accountability.

Any advance payments must be limited to the minimum amounts needed and be timed to be in accordance with the actual, immediate cash requirements of the grantee in carrying out the purpose of the approved program.

The grantee must be able to account for the receipt, obligation and expenditure of funds. All funds must be accounted for on the cash basis of accounting. This means that expenditures are reported during the Grant Project Period when they are paid (in cash) and not just incurred (an obligation).

NOTE: Late Fees/Charges - Grantees are responsible for paying for grant-funded goods and services in a timely manner. Grant funds may not be used to pay late fees, finance charges, penalties, interest, or any other costs associated with late or overdue bills. All costs assessed to the subgrantee for late or overdue bills are the sole responsibility of the grantee.

GRANT ASSURANCE REQUIREMENTS AND SPECIAL CONDITIONS

Please provide our office with any other items required by the 2017 HTVAF grant Special Conditions by the date specified. No payments will be made if the grantee is delinquent in meeting the terms of the 2017 HTVAF grant assurance and Special Conditions by the specified due dates.

UNEXPENDED GRANT FUNDS

If an agency did not expend the entire award amount, the agency is required to refund the over payment amount to our office upon submission of the final FSR. Mail the refund with a copy of the Expenditures and Payment Summary to the OAG by close of business on July 31, 2017. If that date falls on a weekend or holiday, the report is due by 5 p.m. the next business day. It is the responsibility of the agency awarded the grant funds to track expenditures and payments from the OAG and to return unused funds by this date.

No future payments will be made until unexpended funds are returned to the Office of the Attorney General. Failure to return unused funds may also impact the ability to receive future awards. (See Grant Review Committee – Review of applications note).

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ELECTRONIC DEPOSIT OF GRANT PAYMENTS

To improve internal control, increase efficiency, and expedite payments, the OAG requires that all payments be made to grantees via electronic deposit. If direct deposit is not currently established with the State of Kansas, or if the grantee has a change in banking information at any time during the grant project period, contact the OAG to request a copy of the proper Authorization for Electronic Deposit form.

MODIFICATIONS TO BUDGET

- Prior approval is not required for a budget narrative revision(s) during the first three quarters of the grant period between approved line items in the grantee's project budget narrative for amounts less than or equal to ten (10) percent of line item. Although prior approval is not required, the grantee must submit the written explanation and revised budget narrative at the same time the grantee is filing the FSR.
- Prior approval is required for a budget narrative revision request during the first three quarters of the grant period between approved line items in the grantee's project budget narrative for amounts greater than ten (10) percent of line item and must be submitted to the Office of the Attorney General 10 days prior to the proposed effective date of the change.
- Any budget revision request for modification in the Equipment budget category requires prior approval from the Office of the Attorney General and must be submitted to the Office of the Attorney General ten (10) days prior to the proposed effective date of the change.
- **No budget revision requests will be granted during the final quarter of the grant project period, April 1 through June 30.**
- **No 'retroactive' budget revision requests are allowed for the 2017 HTVAF grant, except under extreme circumstances.**
- Budget revisions may only be requested between previously approved line items.
- Funds cannot be moved into a new line item except under extreme circumstances and the grantee must have the written prior approval from the OAG to do so.



NEW THIS YEAR: Any request for modification requiring prior approval to the grantee's grant award budget must be uploaded to our website: <http://ag.ks.gov/victim-services/grants/upload-grant-reports>

BUDGET REVISION PROCEDURES

Upload the following items to the OAG Grant Reports website:

1. Budget Justification letter - upload a justification on agency letterhead, signed by the Executive Director and Treasurer, explaining the need for the budget revision and the amount of each line item revision. The following items must be fully explained:
 - a. the reason for the budget request.
 - b. The effective date of the budget revision.

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- c. Note: if the grantee requires the budget revision to be retroactive, the written revision request must clearly explain the reason for a retroactive effective date.
2. Revised Budget Narrative – upload a revised Budget Project Narrative, reflecting the reallocation of funds from one approved line item to another. This form must be filled out completely and signed by the Executive Director, President of the Board, and Treasurer of the Board for the request to be considered.

APPROVAL OF BUDGET REVISION REQUEST

The revised budget will be approved as requested, conditionally approved, partially approved, or denied. The OAG will contact the grantee in writing within 30 business days of the request to ensure that an approved revision is achieved in a timely manner. Once approved by our Office, the budget revision is effective the first day of the month following the budget revision request letter, unless otherwise noted.

All budget revisions that are approved by the OAG must be reflected in the grantee's 2017 HTVAF General Ledger expenditures. The OAG may request that the grantee submit a copy of the 2017 HTVAF General Ledger to demonstrate that this has been completed.

NOTE: Any budget revision request that affects the scope of the grant project will be denied.

ADVANCE/ EMERGENCY FUNDING

If, in an extreme circumstance, a grantee requires an expedited payment, emergency funds may be requested. To make this request, a signed and scanned letter must be uploaded to the OAG Grant Reports website: <http://ag.ks.gov/victim-services/grants/upload-grant-reports>.

This request must be signed and dated by the Executive Director, Board President, and Board Treasurer. Email the grant monitor that you have uploaded the letter requesting emergency funding. The grantee will be notified via email of the decision to grant emergency funds.

It is the grantee's responsibility to address the following criteria in the request:

- The circumstances that make this situation extreme.
- The number of times in which a request for emergency funds has been made previously during the grant cycle. **Please note: Grantees are discouraged from requesting emergency grant funds more than once in a grant cycle.**
- The timeliness and correctness of all grant reports (both Financial Status Reports and any Statistical or Grant Project Narrative Reports).
- The amount of funds requested for the immediate advance.

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- The reason the grantee must receive funds immediately.
- The grantee's reserve amount and why the reserve cannot be used temporarily.
- The efforts the grantee is making to build sufficient cash reserve.

COMPLIANCE WITH REPORTING AND GRANT ASSURANCE REQUIREMENTS

NOTE: A report is not considered to be timely filed if it is incomplete, incorrect, or lacking one or more required signatures. It is essential that the grant reports be reviewed for accuracy before submission for accuracy. All financial reports must be signed by the Executive Director and Board Treasurer of the Agency. These two signatures are assurances to the Office of the Attorney General that the reports are accurate and complete and represent actual expenditures for the reporting period. Reports must be dated with the date of review for each reporting period. It is unacceptable for the forms to be signed in advance of completion or backdated.

A grantee may request an extension to submit a late report, with the exception of the reports for the Quarter 4 and Final reporting periods. This request must be **in writing**, signed by the Executive Director and Board President, and will be allowed only under extreme circumstances. We are required to withhold all grant payments until we receive the required documents and reports.

Any grantee submitting a late, incorrect, or incomplete report will not receive payment until the next quarter. We encourage grantees to make certain that all past due reports and requirements, as well as the next quarter's reports and requirements, are submitted prior to the next quarter's report due date to ensure payments can be processed the next quarter.

Persistent non-compliance with the grant reporting requirements and grant assurance requirements and special conditions may result in termination of the grant award and cessation of payments, per the grant assurance.

RIGHT TO TERMINATE

The OAG reserves the right to terminate any grant award and cease payment to the Grantee for failure to perform in accordance with the terms of the grant assurances. Further, the OAG may seek reimbursement of any or all grant funds and may reclaim any equipment, durable goods, videos and other property purchased with these grant funds if the Grantee fails to perform in accordance with the terms of the grant assurances and reporting requirements.