



**OFFICE OF ATTORNEY GENERAL DEREK SCHMIDT**  
VICTIM SERVICES DIVISION  
120 SW 10<sup>TH</sup> AVENUE, 2<sup>ND</sup> FLOOR  
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**SFY 2019**

**HUMAN TRAFFICKING VICTIM ASSISTANCE FUND**

**GRANT REPORTING REQUIREMENTS**

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**OFFICE OF ATTORNEY GENERAL DEREK SCHMIDT  
VICTIM SERVICES DIVISION  
FUNDING PERIOD: 7/1/2018 TO 6/30/2019  
SFY 2019 HUMAN TRAFFICKING VICTIM ASSISTANCE FUND**

## **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 2019 HTVAF grant award is considered open:

#### **GRANT ASSURANCES**

Please read the grant assurance thoroughly and note the Special Conditions section. The 2019 HTVAF grant assurances, complete with appropriate initials and signatures, and any other required 2019 HTVAF Special Conditions, due by the same date, must be submitted to the OAG per the terms in the 2019 HTVAF grant award letter and 2019 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 2019 HTVAF grant application, a budget revision is required to match the amount of the award.

Follow the following procedures when filing the initial 2019 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.

#### **GRANT AWARD DOCUMENTS SUBMITTED BY MAIL**

OFFICE OF ATTORNEY GENERAL DEREK SCHMIDT  
VICTIM SERVICES DIVISION  
FUNDING PERIOD: 7/1/2018 TO 6/30/2019  
**SFY 2019 HUMAN TRAFFICKING VICTIM ASSISTANCE FUND**

Submit the 2019 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 10<sup>TH</sup> AVENUE, 2<sup>ND</sup> FLOOR  
TOPEKA, KANSAS 66612-1597

## REPORT FILING – GENERAL INSTRUCTIONS



**REQUIRED WEBSITE:** 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 11:59 pm the next business day. Please ensure that the proper reports are attached in the webpage before completing the upload process. The Grant Reports website will display a message confirming that the documents were successfully submitted. It is the responsibility of the grantee to print records of the upload and to keep these documents in your HTVAF grant file: a) the submitted, signed and dated reports; b) a print of the Grant Reports webpage displaying the list of attachments that were uploaded; and c) a print of the Grant Reports webpage confirming the success of the upload. Please be sure that the settings in your Internet browser's "Page Setup" screen will print the title of the website page, URL, date and time in a short format in the header and footer of the webpage. Please do not duplicate the filing on the OAG website with a faxed, emailed, or mailed copy unless you are asked to do so by OAG Victim Services staff.

**OFFICE OF ATTORNEY GENERAL DEREK SCHMIDT  
VICTIM SERVICES DIVISION  
FUNDING PERIOD: 7/1/2018 TO 6/30/2019  
SFY 2019 HUMAN TRAFFICKING VICTIM ASSISTANCE FUND**

**NOTE: PLEASE UPLOAD ONLY THE REQUIRED QUARTERLY REPORTS. DO NOT UPLOAD ADDITIONAL SUPPORTING DOCUMENTATION ON THE OAG GRANT REPORTS WEBSITE.** Maintain these supporting documents in the HTVAF grant files, as required by the HTVAF grant assurance, for review by OAG staff during a site visit.

**GRANT REPORTING FORMS**

The following reports are required if funding under the 2019 HTVAF grant is awarded:

| <b>ABBREV</b> | <b>TYPE OF REPORT</b>                                     | <b>PURPOSE</b>   | <b>REPORTING PERIOD</b> |
|---------------|---|--|-------------------------|
| 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               |
| HTDR-Agency   | Annual Agency Human Trafficking Data 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. | Annual                  |
| 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 2019 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

OFFICE OF ATTORNEY GENERAL DEREK SCHMIDT  
VICTIM SERVICES DIVISION  
FUNDING PERIOD: 7/1/2018 TO 6/30/2019  
**SFY 2019 HUMAN TRAFFICKING VICTIM ASSISTANCE FUND**

formulas that compute totals and percentages. Use the SFY 2019 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.

**Final Financial Status Report (FSR)**

All grantees must file a FY 2019 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 2019 HTVAF Quarter 4 FSR.

If expenditures are reported in the “Obligations” column of the FY 2019 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 31<sup>st</sup>. 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

**OFFICE OF ATTORNEY GENERAL DEREK SCHMIDT**  
**VICTIM SERVICES DIVISION**  
**FUNDING PERIOD: 7/1/2018 TO 6/30/2019**  
**SFY 2019 HUMAN TRAFFICKING VICTIM ASSISTANCE FUND**

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.

**Projection of Final Expenditures (PFER)**

Use actual expenditures for July 1<sup>st</sup> through March 31<sup>st</sup> and estimated 4<sup>th</sup> 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 an asset 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)**

Since the HTVAF grant funds a variety of services, there is not a standard HTVAF Project Statistical Report for all grantees. Instead, grantees are required to file statistical reports appropriate to the project. For example, if the HTVAF grant funds services to DV/SA victims, please file a DV/SA Service Reporting Form. If the HTVAF grant funds CASA activity, please

OFFICE OF ATTORNEY GENERAL DEREK SCHMIDT  
VICTIM SERVICES DIVISION  
FUNDING PERIOD: 7/1/2018 TO 6/30/2019  
**SFY 2019 HUMAN TRAFFICKING VICTIM ASSISTANCE FUND**

file the CASA Program Quarterly Statistical Report. If the HTVAF grant funds CAC activity, please file the State CAC Quarterly Statistical Report.

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.

**Annual Agency Human Trafficking (HT) Data Report (HTDR)**

All HTVAF grantees must file the Annual Agency Human Trafficking Data Report on July 31<sup>st</sup> each grant year. If that date falls on a weekend or holiday, the report is due by 5 p.m. the next business day. The HTDR provides the OAG with data regarding all services provided AGENCY-WIDE 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 (Primary) or their children (Secondary) 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 HT 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 Annual Agency Human Trafficking Data Report (AGENCY-WIDE).

***Through the OAG Grant Program, the Victims Services Division seeks to ensure that Kansas crime victims: 1) are aware of their rights, 2) have their rights protected, 3) are aware of the services available to them, and 4) have access to quality services.***

Please ensure that the Quarterly Project Narratives demonstrate how you have incorporated the values and purpose stated above into the progress made on your goals and objectives for the reporting period. Please ensure that your responses in the Project Narrative fully demonstrate how your agency has provided quality services to victims in your service area. Please include specific information about what you did for victims during the reporting period, and how you accomplished this.

**Agency and Staff Changes**

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

**OFFICE OF ATTORNEY GENERAL DEREK SCHMIDT  
VICTIM SERVICES DIVISION  
FUNDING PERIOD: 7/1/2018 TO 6/30/2019  
SFY 2019 HUMAN TRAFFICKING VICTIM ASSISTANCE FUND**

- 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>
- PFA, CVAF and HTVAF Grantees: The OAG must be notified via an email to [dorothy.halley@ag.ks.gov](mailto:dorothy.halley@ag.ks.gov) and [kathy.holm@ag.ks.gov](mailto: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.
- 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.

**PAYMENTS**

The payment structure for the HTVAF grant allows the OAG to pay an initial twenty-five (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. The second payment will be made upon receipt and approval of the award budget, all other items specified in the special conditions section of the grant assurance, and all required Qtr. 1 Reports. 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:

| Documents Due to The OAG   | Reporting Period | Due Date                                  | Upon receipt of required reports and documents, the following will occur:  |
|--|------------------|---|--|
| Signed and initialed Grant Assurance   | N/A              | As specified in the Award grant assurance | Initial Payment  |
| Award Budget Narrative, revised Goals & Objectives, and special conditions requirements, as applicable | N/A              | As specified in the Award grant assurance | Any items not submitted by the due date specified in the Award letter and Grant Assurance will be considered late.<br><br>Grantees submitting a late, incorrect, or incomplete report will not receive a payment until the next scheduled payment for the next HTVAF reporting period. |



**OFFICE OF ATTORNEY GENERAL DEREK SCHMIDT  
VICTIM SERVICES DIVISION  
FUNDING PERIOD: 7/1/2018 TO 6/30/2019  
SFY 2019 HUMAN TRAFFICKING VICTIM ASSISTANCE FUND**

| Documents Due to The OAG  | Reporting Period           | Due Date            | Upon receipt of required reports and documents, the following will occur:   |
|---|----------------------------|---------------------|---|
| Financial Status Report *<br>Project Statistical Report<br>Project Narrative Report   | 07/01/2018-<br>09/30/2018  | October 30,<br>2018 | Payment 2<br>Actual Expenditures<br>per QTR 1 FSR   |
| Financial Status Report *<br>Project Statistical Report<br>Project Narrative Report   | 10/01/2018 -<br>12/31/2018 | January 30,<br>2019 | Payment 3<br>Actual Expenditures<br>per QTR 2 FSR   |
| Financial Status Report *<br>Project Statistical Report<br>Project Narrative Report<br>Projection of Final Expenditures   | 01/01/2019 -<br>03/31/2019 | April 30, 2019      | Payment 4<br>Actual Expenditures<br>per QTR 3 FSR   |
| Financial Status Report *<br>Project Statistical Report<br>Project Narrative Report   | 04/01/2019 -<br>06/30/2019 | July 30, 2019       | 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 and Annual Agency Human Trafficking Data Report (HTDR)  | 07/01/2019 -<br>07/01/2019 | July 31, 2019       |   |
| <b>NOTE: the Financial Status Reports, Project Statistical Reports, and Project Narrative Reports 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.</b> |                            |                     |   |

\* - 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 HTVAF Grant reporting period.
- We do not reduce the third quarter payment by the remaining amount in the projection of expenditures report.
- 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

OFFICE OF ATTORNEY GENERAL DEREK SCHMIDT  
VICTIM SERVICES DIVISION  
FUNDING PERIOD: 7/1/2018 TO 6/30/2019  
**SFY 2019 HUMAN TRAFFICKING VICTIM ASSISTANCE FUND**

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.

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 2019 HTVAF grant Special Conditions by the date specified. No payments will be made if the grantee is delinquent in meeting the terms of the 2019 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 overpayment 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<sup>st</sup> each year. 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).***

### **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.

OFFICE OF ATTORNEY GENERAL DEREK SCHMIDT  
VICTIM SERVICES DIVISION  
FUNDING PERIOD: 7/1/2018 TO 6/30/2019  
**SFY 2019 HUMAN TRAFFICKING VICTIM ASSISTANCE FUND**

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 2019 HTVAF grant.**
- Budget revisions may only be requested between previously approved line items.



**REQUIRED:** 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.
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 2019 HTVAF General Ledger expenditures. The OAG may request that the grantee submit a copy of the 2019 HTVAF General Ledger to demonstrate that this has been completed.

OFFICE OF ATTORNEY GENERAL DEREK SCHMIDT  
VICTIM SERVICES DIVISION  
FUNDING PERIOD: 7/1/2018 TO 6/30/2019  
**SFY 2019 HUMAN TRAFFICKING VICTIM ASSISTANCE FUND**

**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.
- 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.

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.

## **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.

OFFICE OF ATTORNEY GENERAL DEREK SCHMIDT  
VICTIM SERVICES DIVISION  
FUNDING PERIOD: 7/1/2018 TO 6/30/2019  
**SFY 2019 HUMAN TRAFFICKING VICTIM ASSISTANCE FUND**

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.

Grantees submitting a late, incorrect, or incomplete report will not receive a payment until the next scheduled payment for the next HTVAF Grant reporting period. 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.