



Florida Resilient & Coastlines Program

State Funded Grantee's File Management Best Practices

Angel Baratta, Grants Manager, FRCP

850-245-2849 Angel.Baratta@FloridaDEP.gov



Purpose of Training

- **Provide applicants and awarded Grantee's of the Florida Resilience & Coastlines Program (FRCP) entities a guide to assist with grant management, best practices, rules and regulations.**



Agenda

- ***Grant Manager Roles***
 - Internal Controls
 - Risk Assessment
 - Monitoring
- ***Pre-Award Documents***
 - Request for Applications
 - Subs & Procurement Process
 - Submitted Proposals
 - Conflict of Interest
 - Non-Debarment and Non-Suspension Confirmation
 - Executed Agreements
 - Application Submittal
 - Budget/Cost Analysis
 - Grant Award Notification
- ***Types of Documentation***
 - Restrictive Rules Hierarchy
 - Non Compliance Consequences
- Retention Rules
- ***Agreement Documents***
 - Executed Agreements
 - Amendments/Change Orders
 - File Close out
- ***Project Documents***
 - Tasks & Deliverables
 - Reports
- ***Financial Documents***
 - Budget
 - Purchases/Invoices
 - Payment Requests
 - Exhibit A
 - Exhibit C
- ***General Documentation***
- ***Submittal Documentation***



Grant Managers Should...

Grant Management golden rule:

“If it’s not documented, it didn’t happen.”

- Exercise good internal controls and organization management
- Establish and organization-wide conflict of interest policy
 - Contractors who assist in the development or draft of specifications, requirements, and statements of work should be excluded from grant bids.
- Be honest, ethical, and law-abiding
- Provide leadership for the project



Grant Managers Should... (Cont.)

- Read the grant application and all referenced guidelines
- Become familiar with grant terms and conditions
- Develop a system of recordkeeping, for grant activities and budget expenditures for each award and subaward for the project
- Become familiar with allowable and unallowable costs
- Stay on top of and meet all deadlines
- Participate in internal monthly budget meetings monitoring expenditures
- Keep in touch with the funding agency
- Put all budget and program change requests in writing



Grant Managers Roles

- **Internal Controls**
- **Risk Assessment**
- **Monitoring**



Internal Controls

- **Organizations need to train personnel in regard to internal controls and their associated policies and procedures**
- **Employees need to understand the significance of their role: they help provide checks and balances**
- **When changes take place, organization need a means to communicate and train employees on new standards of internal controls**



Purpose for Internal Controls

- Prevents Conflict of Interest with documentation and defined roles
- Protects resources against waste and fraud
- Minimizes risk of poor management
- Ensures accuracy and reliability
- Evaluates the level of performance in all organizational units
- Provides management peace of mind
- Establishes consistent business practice



Risk Assessment

- **Review Internal and External sources on grantees:**
 - **Financial stability**
 - **Quality of management systems**
 - **History of performance**
 - **Reports and findings from audits**
- **Debarment or Suspension verification/Attestation Statements**
- **Company Name changes – SunBiz.org**
- **Consider Publicity level for depth of review**



Monitoring

- **Desk Monitoring**
 - **Reviewing all documents**
 - **Timelines for accuracy**
- **On-site Monitoring**
 - **Validating what has taken place**
 - **Review all documents**
 - **Confirm internal control process are being utilized**



Pre-Award Documents

- Request for Applications
- Subs & Procurement Process
 - Submitted Proposals
 - Conflict of Interest
 - Non-Debarment and Non-Suspension Confirmation
 - Executed Agreements
- Application Submittal
- Grant Award Notification



Request for Applications

- **Advertisement/Announcement is published by the Funding Source for an upcoming grant opportunities.**
 - **Federal Administrative Register**
 - **Email notifications**
 - **Newspaper Ads**
- **File folder system to store all information for project from Pre-Award to close out (if awarded)**



Procurement & Sub-contractor Process Documents

Follow your agency's procurement policies, for any sub-contractors you consider for the project.

(If your agency defers to the state procurement policies see 287 F. S.)

- Procurement announcement**
- All submitted sub-contractor agreements/proposals/bids**
- Confirmed no conflict of interest exists**
- Verified non-debarment and non-suspensions of awarding sub-contractors, which is required if over \$25K**



Procurement & Sub-contractor Process Documents (Cont.)

- **Process of selection utilized**
- **Detail description of all costs for the project.**
- **Confirm costs are allowable, allocable, reasonable, and necessary**
- **Executed agreement with sub-contractors showing scope of work and values**
- **Purchase orders**
- **Paid invoices**



Application Submittal

- Submitted application in response to the grant opportunity per the application rules and guidelines
- Detail documents to justify budget estimations and work plan timeline
 - Budget details, showing how values were determined
 - Procurement process documentation
 - Work plan details with details of tasks and deliverables
 - Project timeline with values for each completed task



Application Submittal (Cont.)

Budget/Cost Analysis Details

- **Items to be included to show how/where all funds will be utilized for the project, to include all entities working on the project.**
 - **Grantee's Name & Project title**
 - **Personnel Expenses**
 - **Contractual Services**
 - **Travel**
 - **Equipment**
 - **Rental/Lease of Equipment**
 - **Overhead/Indirect**



Grant Award Notification

- Fully executed agreement on file
- Notification of an anticipated, or actual award **DOES NOT** mean you can begin working on the project.
- No work begins prior to receipt of fully executed agreement from the funder.



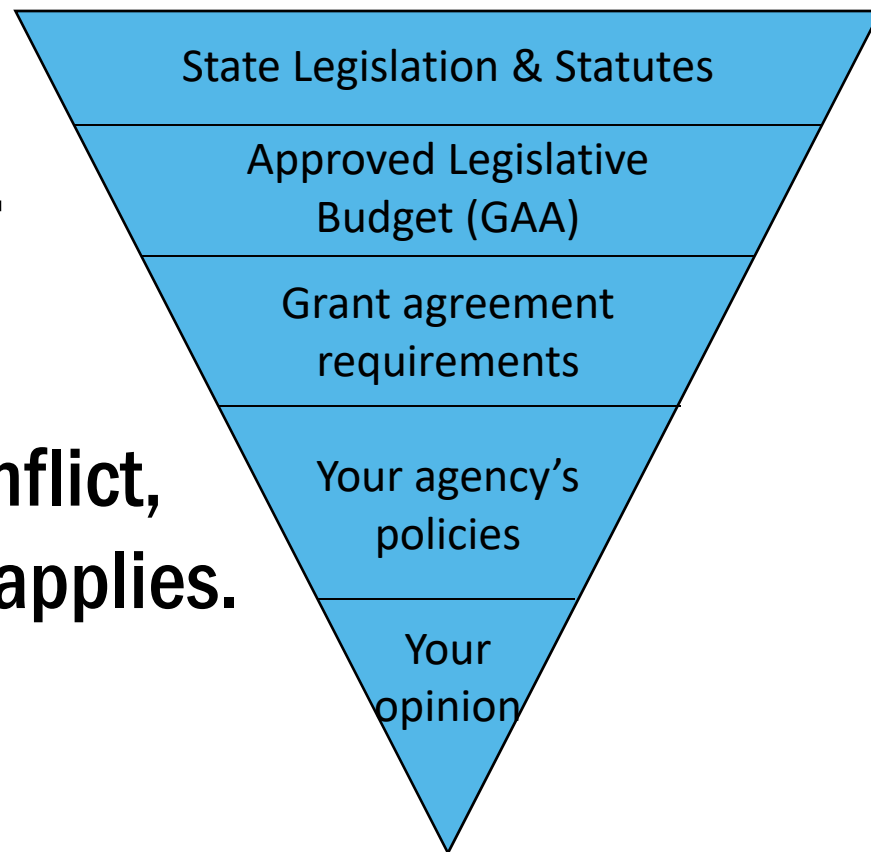
Types of Documents

- **Restrictive Rules & Hierarchy**
- **Non-Compliance & Failure to Comply**
- **Retention Rules**



Restrictive Rules Hierarchy

- **When the rules conflict ...
What trumps what?**
- **When the rules do not conflict,
the most restrictive rule applies.**





Non-Compliance & Failure to Comply

- **Written notification provided**
- **Corrective Action Plan**
- **Disallow all or part of the cost, if used for unallowable costs**
- **Enforce financial consequences set for in the agreement**
- **Impact potential future state awards**



Retention Rules

- Starts on the date that the Agreement is closed out by the funding agency
- FRCP Requires 5 years retention for all Grant Agreements
- Follow internal agency rules on retention (**ONLY** if it is longer than the required 5 years for FRCP)



Agreement Documents

- Executed Agreements
 - Funder Agreement with Grantee
 - Grantee Agreements with Sub-Contractor(s)
- Executed Amendments
- Executed Change Orders
- File Close Out



Agreement

- **Fully Executed agreement, with all attachments and exhibits**
 - **Exhibits/Forms**
 - **Exhibit A – Progress Report Form**
 - **Exhibit C – Payment Request Form**
 - **Exhibit F – Final Report Form**
 - **Exhibit G – Photographer Release Form**
 - **Include all Executed Sub-Contractor Agreements utilized for the project**



Exhibits

A

C

F

G

DEPARTMENT OF ENVIRONMENTAL PROTECTION
Progress Report Form

Exhibit A

DEP Agreement No.:	Agreement No.		
Grantee Name:			
Grantee Address:			
Grantee's Grant Manager:		Telephone No.:	
Project Title:			
Reporting Period:	(MM/DD/YYYY – MM/DD/YYYY)	Report Type:	(Quarterly or Status Update)

INSTRUCTIONS: Provide the following information for all tasks and deliverables identified in the Grant Work Plan: a summary of project accomplishments for the reporting period; a comparison of actual accomplishments to goals for the period; if goals were not met, provide reasons why; provide an update on the estimated time for completion of the task and an explanation for any anticipated delays and identify by task; indicate the percentage of the task that has been completed to date.

NOTE: Use as many pages as necessary to cover all tasks in the Grant Work Plan.

The following format should be followed:
Task 1:
Progress for this reporting period:
Identify any delays or problems encountered:
Percentage of task completed:

EXHIBIT C
PAYMENT REQUEST SUMMARY FORM

DEP Agreement No.		Request Date:	
Payment Request No.			
Grantee's Grant Manager Name			
Grantee Name & Mailing Address for Payment:			
Task No(s).		Total Task Amount(s) Requested:	
Performance Period - Date Range			

GRANT EXPENDITURES SUMMARY SECTION

CATEGORY OF EXPENDITURE (As authorized)	BUDGETED AMOUNT	AMOUNT OF THIS REQUEST	PAYMENTS RECEIVED	REMAINING AMOUNT
Salaries/Wages				\$ -
Fringe Benefits				\$ -
Indirect Cost				\$ -
Contractual (Subcontractors)				\$ -
Fixed Price				\$ -
TOTALS	\$ -	\$ -	\$ -	\$ -

EXHIBIT F

DEP AGREEMENT NO. Agreement No.

Project Title

Grantee Name

Final Project Report



Florida Department of Environmental Protection
EXHIBIT G
PHOTOGRAPHER RELEASE FORM
FOR PHOTOGRAPHS, VIDEOS, AUDIO RECORDINGS AND ARTWORKS

DEP AGREEMENT No. Agreement No.

RELEASE FORM FOR PHOTOGRAPHS, VIDEOS, AUDIO RECORDINGS AND ARTWORKS

Owner/Submitter's Name _____

Address _____

City _____ State _____ Zip _____

Phone Number: (____) _____ Email: _____

License and Indemnification
 I certify that I am the owner of the photograph(s), video(s), audio recording(s) and/or art work(s) being submitted and am 18 years of age or older.

I hereby grant to the Florida Department of Environmental Protection the royalty-free and non-exclusive right to distribute, publish and use the photograph(s), video(s), audio recording(s) and art work(s) submitted herewith ("the Work") to promote the Florida Department of Environmental Protection. Uses may include, but are not limited to, promotion of the Florida Department of Environmental Protection, including, but not limited to, through publications, websites, social media venues and advertisements and distributed to the media and in commercial products. The Florida Department of Environmental Protection reserves the right to use/not use any Work as deemed appropriate by the Florida Department of Environmental Protection. No Work will be returned once submitted.



I hereby acknowledge that the Florida Department of Environmental Protection shall bear no responsibility whatsoever for protecting the Work against third party infringement of my copyright interest or other intellectual property rights or other rights I may hold in such Work, and in no way shall be responsible for any losses I may suffer as a result of any such infringement, and I hereby represent and warrant that the Work does not infringe the rights of any other individual or entity.

I hereby unconditionally release, hold harmless and indemnify Florida Department of Environmental Protection its employees, volunteers and representatives of and from all claims, liabilities and losses



Amendments (if applicable)

Amendments (if applicable)

- Fully Executed Amendments, with all attachments and exhibits
- Written requests are required for changes in the following:
 - Scope of work details
 - Deliverables
 - Grant end date extension
 - Transfer of budgeted funds between approved categories
 - Budget or allotment funds for the project



Change Orders (if applicable)

- **Fully Executed Change Orders**
- **Required for changes in the following:**
 - **Deliverable Due Date Extensions**
 - **Change in Key Personnel**



File Close Out

- **Submit Exhibit F final report to funder**
- **Description of how objectives were met**
- **Show how all funds were expended on allowable expenditures**
- **Record of all payments made and received**
- **Retain all records through the required retention period**
- **Notification of funder closing grant agreement file**



Project Documents

- **Tasks & Deliverables**
- **Reports**
 - **Status Updates**
 - **Quarterly**



Tasks & Deliverables

- **Deliverables submitted for each task, clearly labeled to match the grant agreement deliverable descriptions**
- **Deliverables are tangible, measurable, and verifiable**
- **All plans, permits, drawings and validations are saved in a pdf format and submitted with appropriate corresponding tasks**
- **All Exhibit G documents are submitted where necessary**
- **Notification of accepted task deliverables from FRCP**



Florida Department of Environmental Protection
EXHIBIT G
PHOTOGRAPHER RELEASE FORM
FOR PHOTOGRAPHS, VIDEOS, AUDIO RECORDINGS AND ARTWORKS

DEP AGREEMENT No. Agreement No.

RELEASE FORM FOR PHOTOGRAPHS, VIDEOS, AUDIO RECORDINGS AND ARTWORKS

Owner/Submitter's Name _____

Address _____

City _____ State _____ Zip _____

Phone Number: (____) _____ Email: _____

License and Indemnification

I certify that I am the owner of the photograph(s), video(s), audio recording(s) and/or art work(s) being submitted and am 18 years of age or older.

I hereby grant to the Florida Department of Environmental Protection the royalty-free and non-exclusive right to distribute, publish and use the photograph(s), video(s), audio recording(s) and art work(s) submitted herewith ("the Work") to promote the Florida Department of Environmental Protection. Uses may include, but are not limited to, promotion of the Florida Department of Environmental Protection, including, but not limited to, through publications, websites, social media venues and advertisements and distributed to the media and in commercial products. The Florida Department of Environmental Protection reserves the right to use/not use any Work as deemed appropriate by the Florida Department of Environmental Protection. No Work will be returned once submitted.

I hereby acknowledge that the Florida Department of Environmental Protection shall bear no responsibility whatsoever for protecting the Work against third party infringement of my copyright interest or other intellectual property rights or other rights I may hold in such Work, and in no way shall be responsible for any losses I may suffer as a result of any such infringement; and I hereby represent and warrant that the Work does not infringe the rights of any other individual or entity.

I hereby unconditionally release, hold harmless and indemnify Florida Department of Environmental Protection its employees volunteers and representatives of and from all claims liabilities and losses



Status Reports

Uses the Exhibit A form as needed

- **All tasks and deliverables are included on each Exhibit A submittal showing:**
 - **Status of each task/deliverable**
 - **Delays or problems encountered for each task**
 - **Percentage completed to date for each task**
- **Exhibit A is signed and dated by the grant manager**
- **Notification of receipt by FRCP**



DEPARTMENT OF ENVIRONMENTAL PROTECTION
Progress Report Form

Exhibit A

DEP Agreement No.:	Agreement No.		
Grantee Name:			
Grantee Address:			
Grantee's Grant Manager:		Telephone No.:	
Project Title:			
Reporting Period:	(MM/DD/YYYY – MM/DD/YYYY)	Report Type:	(Quarterly or Status Update)

INSTRUCTIONS: Provide the following information for **all tasks and deliverables identified in the Grant Work Plan**: a summary of project accomplishments for the reporting period; a comparison of actual accomplishments to goals for the period; if goals were not met, provide reasons why; provide an update on the estimated time for completion of the task and an explanation for any anticipated delays and identify by task; indicate the percentage of the task that has been completed to date.

NOTE: Use as many pages as necessary to cover all tasks in the Grant Work Plan.

The following format should be followed:

Task 1:

Progress for this reporting period:

Identify any delays or problems encountered:

Percentage of task completed:



Quarterly Reports

- **Completed on Exhibit A form**
- **All tasks and deliverables are included on each Exhibit A submittal showing:**
 - **Status of each task/deliverable**
 - **Delays or problems encountered for each task**
 - **Percentage completed to date for each task**
- **Exhibit A is signed and dated by the grant manager**
- **Notification of receipt by FRCP**



Final Report

- **Completed Exhibit F submitted no later than 45 following the completion of the project (usually the final deliverable due date)**
- **All areas of the form are completed**
- **Total pages does not exceed the 5 page limit**
- **Notification of receipt by FRCP**

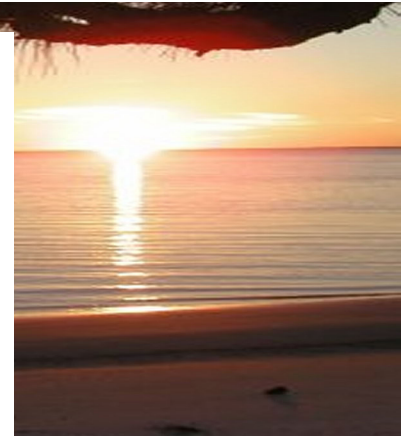


EXHIBIT F
DEP AGREEMENT NO. Agreement No.

Project Title

Grantee Name

Final Project Report





- **Budget**
- **Purchases/Invoices**
- **Payment Requests**



Budget

Provides assurance that the charges are accurate, allowable, properly allocated, and account for 100% of compensated work activities.

- **Copies of all sub-contracts**
- **Copies of all purchase orders**
- **Copies of all expenditure files and reports**
- **Payment Requests (Exhibit C)**
- **Progress Report (Exhibit A, for payment request)**
- **Reconciliation report**



Budget (Cont.)

Exhibit A

- Utilize the most recent completed Exhibit A that includes all tasks and details for the entire grant agreement
- List the latest updates for each task in the agreement
- Identify any delays or problems encountered for each task
- Include the % that has been completed for each task

NOTE: When requesting payment for a task, this report must indicate that that particular task is **100%** complete



Budget (Cont.)

Exhibit C

- **Complete 1st tab for the summary request**
- **Input all allowable categories budgeted funding amounts for the grant agreement**
- **Sum all task requested funds for each budgeted category requesting payment for in this specific request period**
- **Enter in payment amounts received to date for each budgeted category**
- **Complete additional tabs if necessary (See instructions tab)**



EXHIBIT C
PAYMENT REQUEST SUMMARY FORM

DEP Agreement No.					
Payment Request No.			Request Date:		
Grantee's Grant Manager Name					
Grantee Name & Mailing Address for Payment:					
Task No(s).		Total Task Amount(s) Requested:			
Performance Period - Date Range					

GRANT EXPENDITURES SUMMARY SECTION

CATEGORY OF EXPENDITURE <i>(As authorized)</i>	BUDGETED AMOUNT	AMOUNT OF THIS REQUEST	PAYMENTS RECEIVED	REMAINING AMOUNT
Salaries/Wages				\$ -
Fringe Benefits				\$ -
Indirect Cost				\$ -
Contractual (Subcontractors)				\$ -
Fixed Price				\$ -
TOTALS	\$ -	\$ -	\$ -	\$ -



Budget (Cont.)

Sub-Contractors (if necessary)

- Executed Sub-contractor Agreements
 - Sub-contractor name working on the project
 - Dates work completed
 - Description of goods/services
 - Invoice information
 - Payment type utilized
 - Amount claiming

NOTE: Complete the Contractual Detail tab for these expenses



Exhibit C - Part II

CONTRACTUAL DETAIL

Complete one table per Task containing Contractual Reimbursement Requests

Add rows as needed for each table. Add tables as needed, if more than one task is included in this invoice.

Be sure to attach the executed agreement(s) between the Grantee and Sub-contractors (if not previously submitted).

Be sure to attach original invoices to the Grantee, and proof of payment documents.

Formulas are included in some of the spreadsheet cells, denoted with "\$ - " .

Task Number:									
Contractual Services									
Performance Period or Date Completed	Sub-contractor Name	Description of Good/Services Provided	Sub-contractor Invoice Number	Sub-contractor Invoice Date	Amount Paid (Total on the check paid)	Payment Method Used	Check # or CC Type (If applicable)	Proof of Payment Provided	Amount Claimed (Not to exceed task budgeted amount)
1/10/19 - 4/15/19	EXAMPLE - John Smith	Completed Shareholder Meeting 1 and reports	15846	05/01/19	\$ 15,000.00	Check	24589	Cancelled Check	\$ 2,500.00
								Contractual Total	\$ -



Budget (Cont.)

Payroll documents/Paycheck copies (if necessary)

- **Person/position working on the project**
 - **Payment indicates the actual dates worked**
 - **Date payment was made to person/position**
 - **Total payment matches total timesheet hours**
 - **All Fringe costs associated with each payment line item**

NOTE: Complete the Salary & Fringe Detail tab for these expenses



Exhibit C - Part III

SALARY AND FRINGE DETAIL

Complete one table for each task containing Salary, Fringe, and Indirect Cost
 Add rows as needed for each table. Add tables as needed, if more than one task is included
 Be sure to attached timesheets showing hours worked for each task, with the employee
 Be sure to attached a copy of employee's pay stubs as proof of payment showing employee name and date payment was made.
Formulas are included in some of the spreadsheet cells, denoted with "\$ -"

Task Number:

Salary

Position Title	Employee Name	Performance Period or Date Completed	Total Hours Worked	Hourly Wage	Total Amount Paid	Date Paid	Payment Type Used	Check # or CC Type (If	Proof of Payment Provided	Amount Claimed
<i>Example</i>	<i>John Doe</i>	<i>1/12/19 - 3/31/19</i>	<i>64.00</i>	<i>\$ 25.00</i>	<i>\$ 3,500.00</i>	<i>3/30/2019</i>	<i>Check</i>	<i>24589</i>	<i>Cancelled Check</i>	<i>\$ 2,100.00</i>
										\$ -
										\$ -
										\$ -
										\$ -
										\$ -
										\$ -
										\$ -
TOTAL SALARY										\$ -

Fringe

Position Title	Employee Name	Performance Period or Date Completed	Fringe Rate (% of	Fringe Amount	Total Amount Paid	Date Paid	Payment Type Used	Check # or CC Type (If	Proof of Payment Provided	Amount Claimed
<i>Example</i>	<i>John Doe</i>	<i>1/12/19 - 3/31/19</i>	<i>15.00%</i>	<i>\$ 315.00</i>	<i>\$ 450.00</i>	<i>3/30/2019</i>	<i>Check</i>	<i>24589</i>	<i>Cancelled Check</i>	<i>\$ 315.00</i>
0	0	0	0	\$ -		1/01/1900	0	0	0	\$ -
0	0	0	0	\$ -		1/01/1900	0	0	0	\$ -
0	0	0	0	\$ -		1/01/1900	0	0	0	\$ -
0	0	0	0	\$ -		1/01/1900	0	0	0	\$ -
0	0	0	0	\$ -		1/01/1900	0	0	0	\$ -
0	0	0	0	\$ -		1/01/1900	0	0	0	\$ -
TOTAL FRINGE										\$ -

Indirect

Description of Indirect Costs	Performance Period or Dates Utilized	Indirect Rate (%) of Salary & Fringe	Indirect Amount Incurred	Eligible Amount	Amount Claimed
<i>EXAMPLE - Printing and postage</i>	<i>1/12/19 - 3/31/19</i>	<i>5.00%</i>	<i>\$ 120.75</i>	<i>\$ 120.75</i>	<i>\$ 120.75</i>
				\$ -	\$ -
TOTAL INDIRECT				\$ -	\$ -



Budget (Cont.)

Travel Documents (if necessary)

- Travel pre-approval forms, with estimated travel dates, and costs
- Post-travel forms, with actual costs submitted
- All receipts for travel
- All payments made to 3rd party entities for travel costs



Budget (Cont.)

Training Documents (if necessary)

- All training the grant agreement funded
- Listing of all participants in the trainings with copies of sign-in sheets of those that attended
- All receipts showing costs that were paid out for training



General Documents

Correspondence, Emails, & Letters

- All correspondence between grantee and the funder.
- Correspondence between grantee and other entities related to the project
- Project timelines with dates and funding amounts
- Meeting minutes related to the project
- Sign-in sheets for meetings held
- Press releases that were published
- Any other information that documents challenges or success with the project



Submittal Documents

- **All sub-contractor executed agreements**
- **All invoices received**
- **All deliverables for all tasks**
- **All quarterly reports**
- **Final report**
- **All Exhibit C requests for payment**
- **All receipts and backup documentation as required**



Reminders

- **Read and understand the award terms and provisions**
- **Revisit award requirements frequently throughout the grant period**
- **Familiarize all staff with provisions, regulations, and program policies and procedures**
- **Ensure supporting documentation is present**



References

- ***[FRCP Grants Website](#)***
 - Application Documents
- ***[Template Forms for Awarded Grantees](#)***
 - Template Exhibits
- ***[Grant Presentations & Resources](#)***
 - Tips for Grant Applications
 - How to Request Payment
 - Checklist for Requesting Payment
 - File Management Best Practices
 - [Sunbiz.org verification](#)
- ***[Agreement Documents](#)***
 - Attachment 3 – Grant Work Plan
 - Attachment 5 – Special Audit Requirements
 - Attachment 6 – Program Specific Conditions



Thank you!

**Contact Angel Baratta at 850-245-2849 or
Angel.Baratta@FloridaDEP.gov**