California Department of Alcohol and Drug Programs
Program Services Division, Prevention Services

Safe and Drug Free Schools and Communities

Grantee Manual

A Desk Manual for Grantees

December 2007

State of California
Department of Alcohol and Drug Programs
1700 K Street
Sacramento, CA 95811-4037

This page left intentionally blank for 2-sided printing of draft

DRAFT

Table of Contents

This page left intentionally blank for 2-sided printing of draft

Introduction

The Program Services Division (PSD), Prevention Services Branch of the California Department of Alcohol and Drug Programs (ADP) has created this Grantee Manual for you to use as a resource while you provide services relevant to the Safe and Drug-Free Schools and Communities Governor's Program (SDFSC) federal grant. It outlines the fundamental procedures in grant management and seeks to address the frequently asked questions and most common grant issues. This is not intended to be an exhaustive resource, but a guide to help you manage and maintain the programmatic and administrative functions of the SDFSC grant.

ADP has been providing grant funding to the prevention field since 2002. Over the last five years, the administrative tools and procedures herein have been developed and refined. However, it is expected that the procedures outlined in this manual will continue to evolve to meet the needs of ADP and the grantees.

SDFSC Grants

SDFSC is a formula grant awarded by the US Department of Education. In California, 80 percent of the SDFSC funds are directed to the California Department of Education (CDE), and 20 percent are directed through the Governor to ADP. Programs funded through ADP's SDFSC Governor's Program are meant to complement and support the programs funded through CDE, and serve children and youth who are not normally served through state and local educational agencies, or who need special / additional services (such as runaway and homeless youth, pregnant and parenting teenagers, and dropouts). As a result of the 2001 No Child Left Behind Act, ADP is required to distribute the Governor's Program funds through a competitive process. Therefore, the SDFSC funds are provided through a competitive grant process to county Alcohol and Other Drugs (AOD) offices for program services. The SDFSC grant is specific in the target issue and may contain requirements that are stricter, or at least different, than the more customary block grants. As a result, it should be expected that some administrative requirements will be unique to the SDFSC grant program.

One of ADP's goals for all grants is to advance priorities of the Department at both the state and local levels that will result in better coordination and efficacy of the overall system delivery, including planning, evidence-based programming, and evaluation.

Who's Involved?

The county office responsible for alcohol and other drug programs is eligible to receive SDFSC Governor's Program grant funding and is the grantee. The Alcohol and Drug Program Administrator is the agent authorized by the county to enter into the legal agreement (Notice of Grant Agreement) with ADP. In some cases the county board of supervisors designates another individual to sign the grant agreement. The AOD administrator is responsible for overall grant administration.

The role of the Project Director is to ensure that the program activities conform to grant requirements and proposed services outlined in the original application and/or the most current Notice of Grant Agreement (NOGA). It is their responsibility to oversee the everyday

programmatic functions and ensure compliance with the grant requirements set forth in the governing statutes (laws), regulations, grant terms and conditions, certifications, and assurances. This includes ensuring compliance of any subrecipients or vendors working on the grant. ADP analysts are available to assist the grantee in meeting compliance and to provide administrative and program technical assistance (TA). If specifically requested by the grantee, or if the ADP analyst feels the need, a referral to additional resources will be available.

The project director is the liaison between the county/grant program and ADP. Should ADP have questions pertaining to the grant, the project director will be the first line of contact (unless otherwise requested by the AOD Administrator). Therefore, it is necessary that the project director be conversant in the grant activities and able to answer any questions regarding the grant. Equally, any questions that the grantee has can and should be directed to the assigned ADP analyst. It is ADP's goal to be a *partner* available to assist grantees in providing responsible, effective prevention programming.

Grant Agreement

Finalizing Grant Documents

After you have been notified that you have been selected for funding, all grant agreement documents will be finalized in preparation of the NOGA. Finalization of documents may include clarification/refinement of budget items and descriptions, goals and objectives, work plan and evaluation plan. If there are any questions or items in need of clarification, the project director (or designee) will be contacted by an ADP analyst.

During this process, you are expected to be responsive and to provide timely and accurate information. Failure to respond to requests for information or failure to submit accurate information may cause delays in the award. Failure to resolve these problems within the agreed upon timeframe <u>may result in a termination of the grant award</u>.

Notice of Grant Agreement

A NOGA is the legal agreement between ADP and the grant recipient and sets forth the general conditions governing the program. The NOGA packet includes the signed agreement (or NOGA), line item budget, budget narrative, and work plan. The application submitted and selected through the Request for Application (RFA) process will be incorporated by reference into a final NOGA as will the terms and conditions, and signed certifications and assurances.

The NOGA is made up of two sections. The first page contains information about the grant, contact information, and signature blocks for approvals. Page 2 of the NOGA contains funding and grant revision tracking information.

NOGA Approval Process

Two original copies of the NOGA form are required; one for the grantee and one for ADP. After the NOGA has been finalized by ADP, it is then sent to the grantee for signatures on Page 1. The NOGA should be signed in blue ink to ensure that the signatures are original. Both copies of the NOGA are to be signed by the grant representatives and returned to ADP for final approval and ADP signatures. Once a NOGA is fully executed, one original NOGA with the

full packet of attachments is forwarded to the grantee, the other original packet is kept at ADP. If an additional original NOGA is required by a county's board of supervisors, notify the ADP analyst before the NOGA is finalized.

Revising the NOGA

The NOGA is updated any time there is a formal revision to the grant, funds are being encumbered, or the grant signatories change. Grantees should always discuss potential changes or revisions to project elements or fiscal documents with their ADP analyst before changes are made to ensure that the proper revision and approval processes are followed. You will find additional information on revisions in Section V, Other Grant Procedures.

Reporting Program Progress

Reporting grant program progress is a necessary step towards ensuring that your grant is in compliance with pertinent statutes (laws), regulations and grant agreements. After your grant has been awarded, and your program is running, you will report program progress through reports, plans, conversations, and by hosting site visits.

The role of the grantee is to effectively convey successes and/or obstacles towards achieving grant goals and objectives. Conversely, the role of the ADP analyst is to review, analyze and evaluate plans and progress reports to determine if the program is achieving outcomes and complying with statutes and regulations, and offer assistance if necessary.

Report templates contain structured prompts requesting specific information about the grant project. These reports will indicate whether the program is on track or encountering barriers, and will help identify programmatic issues before they become a problem. In addition, you may submit updated or revised program plans such as logic models, work plans and evaluation plans that reflect course corrections for reaching program outcomes. These changes may require a revision to the NOGA. See Section V for more information on grant revisions. Site visits offer another opportunity to provide information on your grant program.

Communication

Maintaining regular contact with your ADP analyst will help ensure the success of your grant program. Should potential problems or a need for technical assistance arise, your ADP analyst is a useful team member and one of the best resources available to you in addressing program obstacles. Grantees are encouraged to contact and utilize the expertise of your ADP analysts often through periodic emails and check-in phone calls.

Written Reports

There are three types of written reports required through the course of a grant. They are: the quarterly progress report, the annual report, and a final project report. Report templates are available in Section VI, Resources.

The *quarterly progress report* provides detailed information on what actions or steps were taken during the quarter to meet the program goals and objectives. It should also include any obstacles encountered and steps taken to overcome those obstacles, an explanation of expenditures reported on the accompanying claim, and any upcoming events related to the

grant. The report should also include, as attachments, any relevant materials or documents produced during the quarter including copies of meeting minutes, printed articles, or program flyers.

The ***annual report*** provides information on the entire project year and includes detailed qualitative and quantitative information. It should include the project description, target population served, program planning and management process, community partner collaboration, program results and outcomes, including interim evaluation findings, lessons learned, future efforts and sustainability, and any special program requirements dictated by the federal grant program regulations. Another significant purpose of the annual report is to provide information that ADP will use to satisfy federal grant reporting requirements.

At the end of a grant, a ***final report*** is typically due in lieu of the last annual report. The final report format is similar to the annual report, but should summarize the accomplishments made during the entire grant period, rather than just the project year.

Capturing everything that has occurred over a period of time in a report can be tricky, especially when many players are involved in the implementation process of a program. It is important that grantees follow good reporting habits such as clearly stating progress being made towards goals and objectives, supporting milestones and outcomes with data if applicable, only reporting information relevant to the scope of the approved grant, relating program costs to program activities, and openly reporting any obstacles to program progress, along with a plan to overcome obstacles with a reasonable time frame for executing the plan.

If any portion of a report is incomplete or unclear, the project director will be contacted by the ADP analyst for clarifications, corrections or missing information. You may be asked to submit a revised or more detailed report. If for some reason you feel the report design isn't the best format for effectively reporting your program activities, please contact your ADP analyst to discuss developing a format that is better suited to your needs. If, after reading the report the ADP analyst has identified an area where guidance is needed, he/she may offer assistance or refer you to appropriate TA services.

Time Frames and Due Dates

Although the reporting requirements and timelines are listed in the grant terms and conditions, your ADP analyst will send a reminder approximately two weeks before a report is due. The following is a timeline for submitting reports for your grant:

QUARTER	REPORTING PERIOD	DUE
YEAR 1		
1	October 1, 2007-December 31, 2007	30 days after end of quarter
2	January 1, 2008-March 31, 2008	
3	April 1, 2008-June 30, 2008	
4	July 1, 2008-September 30, 2008	
Annual Report	October 1, 2007-September 30, 2008	60 days after end of project year
YEAR 2		
5	October 1, 2008-December 31, 2008	30 days after end of quarter
6	January 1, 2009-March 31, 2009	
7	April 1, 2009-June 30, 2009	
8	July 1, 2009-September 30, 2009	
Annual Report	October 1, 2008-September 30, 2009	60 days after end of project year

YEAR 3		
9	October 1, 2009-December 31, 2009	30 days after end of quarter
10	January 1, 2010-March 31, 2010	
11	April 1, 2010-June 30, 2010	
12	July 1, 2010-September 30, 2010	
Annual Report	October 1, 2009-September 30, 2010	60 days after end of project year
YEAR 4		
13	October 1, 2010-December 31, 2010	30 days after end of quarter
14	January 1, 2011-March 31, 2011	
15	April 1, 2011-June 30, 2011	
16	July 1, 2011-September 30, 2011	
Annual Report	October 1, 2010-September 30, 2011	60 days after the end of project year
YEAR 5		
17	October 1, 2011-December 31, 2011	30 days after end of quarter
18	January 1, 2012-March 31, 2012	
19	April 1, 2012-June 30, 2012	
20	July 1, 2012-September 30, 2012	
SDFSC GRANT FINAL REPORT	October 1, 2007-September 30, 2012	60 days after the end of project year

Delinquent Reports

ADP recognizes that this grant is not the only project you are working on and occasionally you may need to extend a report deadline. If you anticipate that you will not be able to meet a deadline, please contact your ADP analyst. A well-prepared and thoughtful report is preferable to a timely, but inadequate report.

Grantees may request two extensions of up to 14 days each (two times per year). If an extension has *not* been requested and approved, and the report is over one week late, the grantee will be contacted regarding the status of the report and a date when the report will be submitted. If the grantee fails to submit the report within 30 days after the initial due date, a 30-day late letter will be mailed to the project director or program contact person. If the grantee fails to submit the report within 45 days after the initial due date, a 45-day late letter will be sent to your grant's *authorizing official*.

Chronic late reporting may indicate administrative problems occurring within the program. If a grantee continues to be non-responsive to deadlines, the grant will enter a corrective action process. Please see Section V, Other Grant Procedures for more information on corrective action.

Site Visits

Site visits are excellent first-hand demonstrations of how programs are progressing towards their grant goals and objectives. It also provides another opportunity to discover areas where your program could benefit from TA. In addition to obtaining program specifics and identifying TA needs, site visits offer an opportunity to further develop the working relationship between you and your ADP analyst by providing an occasion to discuss any administrative issues you may be experiencing.

<u>Technical Assistance Site Visit</u>

The purpose of a TA site visit is to familiarize ADP and its partners with your grant program and more importantly, identify areas in which you may need additional technical assistance.

ADP recognizes that preparing for site visits can be overwhelming and exciting for grantees. ADP offers no-cost TA through contracts with selected providers and as part of the TA services, the contractor may provide logistical support for site visits that includes coordinating the site visit schedule, developing the agenda in conjunction with the grantee, and facilitating interviews or discussions during the site visit.

Although the TA contractor is available to help plan the site visit, you are the principal player in site visit preparation. You are responsible for securing a meeting space, carefully reviewing the site visit interview protocol provided by the TA contractor, ensuring that relevant staff will be attendance, and coordinating with program providers for service observation. The role of the TA contractor is that of facilitator and interviewer. The ADP analyst's role is primarily that of an observer, however, if desired, you do have the option of scheduling time to discuss administrative or fiscal issues with your analyst. Please note that grant modification and formal administrative decisions are not made on the site visit. If grant changes have been discussed on the site visit, you are required to submit a formal request in writing.

Post site visit, the TA contractor will provide you with a summary report of key findings and recommendations to address any pressing TA needs. The summary report contains recommendations for assistance from the TA contractor's perspective; however, you are welcome to self-identify needs and request TA directly from the provider. Responses to TA requests that result from the site visit can come in many forms. Additional site visits providing technical information and training, TA workshops, or follow-up phone consultations are just a few ways the TA contractor can provide assistance to the program.

Site visits will be conducted at least once during the grant period. Be assured that the primary function of the TA site visits is *not* to monitor program compliance, but rather to determine if there are areas where TA could strengthen your program. The environment is intended to be non-punitive and stress-free. You should feel free to report programmatic concerns so that actual TA needs can be assessed and ultimately provided to strengthen and improve your SDFSC program.

<u>Corrective Action/Monitoring Site Visit</u>
The corrective action or monitoring site visit is part of the corrective action procedures. If a program is experiencing extreme difficulty in meeting the grant requirements or is obviously not in compliance, the corrective action process will be executed to resolve outstanding issues. For additional information on the corrective action process, see Section V, Other Grant Procedures.

Reporting Program Costs

As the grantee, you must ensure that the grant funds are being used properly and that any subrecipients and/or vendors are complying with county contract agreements, the grant terms and conditions, and all pertinent statute and regulations. Grantees are responsible for providing effective, efficient administration of the project while being mindful of all grant regulations and

requirements. The primary components of grant fiscal monitoring and reporting are determining allowable costs, completing claim forms, tracking budget expenditures, and maintaining appropriate fiscal records and documentation.

Grant funds are to be used for actual allowable costs that are incurred for authorized purposes. The expenditures must correspond to the grant budget and be reported on the grant claim form. You must ensure that costs are closely aligned to program activities and relate to goals and outcomes. Expenditures that are not related to the program goals and objectives will be disallowed. Even if you subcontract for program implementation, you are responsible to ensure that the funds are used appropriately. Maintaining close contact with your subrecipient and ADP analyst will help you identify potential fiscal problems and assist in solving them.

Determining Allowable Costs

To determine allowable costs you should consider the following fundamental principles:

☑ Costs must be reimbursable (for permitted expenditures), allocable (included in the grant budget), and reasonable (not excessive).
☑ Costs must be consistent with any relevant statutes and the applicable federal requirements. Refer to the grant terms and conditions for a specific list of guidance documents such as federal Office of Management and Budget (OMB) Cost Principles Circulars.
☑ Costs incurred under one project shall not be charged to another project.
☑ All guidelines regarding allowable costs apply to both the grantee and their subrecipient.
☑ Expenditures must be made within the period of funding availability for the costs to be eligible for reimbursement. If you are unsure of the funding availability, contact your ADP analyst.

Even with these principles, determining allowable costs isn't easy. Below is additional information to assist you. Always keep in mind that you may, and should, contact your ADP analyst for guidance if you are in doubt.

Child Care

Child care costs are allowable to the extent that the program can provide a justification for these costs and identify that they are necessary and reasonable for proper and efficient performance of the program.

Computer Purchase and Expenses

The purchase of computers, software, and peripherals (such as printers) is allowable. Need for such purchases must be justified and reasonable, and follow procurement procedures in 34 CFR 80.36 or 74.40-48. The computers must be used directly for the program funded by this grant. If a computer will be shared by another program, that percentage of the cost must be charged to another source.

Conference and Other Training Expenses

The program must clearly identify the need for the conference or training and how it relates to the goals and objectives and outcomes of the program. Costs for speakers or other trainers are allowable for educational purposes.

Counseling/Intervention/Treatment

Counseling, intervention, and screening services are allowable to the point where a participant is referred to an AOD treatment provider for a clinical assessment. Prevention funds are not to be used for clinical assessment or treatment services.

Entertainment

Costs of entertainment, including amusement, diversion, and social activities (such as tickets to shows or sports events, meals, lodging, rental, transportation, and gratuities) are not allowable.

Food

Expenses for food are allowable as long as they are reasonable and used for programmatic purposes. Costs must be consistent with state per diem guidelines.

Grant Writing

Using grant funds to write applications for other grants is not an allowable cost.

Incentives

Incentives such as raffles, prizes, or gifts to participate in the program are not allowable expenses.

Office Space

Any grantee requesting federal funds to pay direct costs for shared office space must justify the cost and distribute the costs proportionately to the various funding sources.

Participant Support Costs

Participant support costs are direct costs for items such as stipends (for participants in a leadership role), travel allowances, and registration fees paid to or on behalf of participants or trainees (but not employees) in connection with meetings, conferences, symposia, or training projects. These costs are allowable with prior approval of ADP.

Travel and per diem for non-county employees who are participants in the program (but not contractors) are listed as Participant Support Costs in the Other Direct Costs Category of the budget. Please justify purpose of training and how costs were determined. You must provide information about the purpose and overall cost of travel that occurs within a given quarter through the quarterly report and claim form.

Prepaid Purchase Cards

Grantees may be allowed to purchase items in their approved budget with pre-paid cards, or "gift cards." For example, grocery store pre-paid cards may be used to purchase food or supplies for program activities. Grantees are required to keep all receipts and accurate records for the purchases made with the cards, and to liquidate all funds available on the card before the end of the project year. *Note that prepaid purchase cards may **not** be used as gifts or incentives for program participants.*

Public Relations

Public relations items that are used to promote understanding and favorable relations with the community and are in keeping with the program goals and objectives (such as t-shirts that are imprinted with a message or logo identifiable to the program) are allowable.

<u>Transportation Costs</u>

Costs for transportation are allowable if considered a reasonable and necessary program expense. Purchasing vehicles such as vans or automobiles is not an allowable expense; however, leasing a vehicle may be allowable if an adequate justification is provided that clearly delineates the necessity for the program, the reasonableness of cost, and assures that the lease does not contain an option to buy. Fuel and maintenance costs are allowable only to the extent they relate to program use. If the vehicle will be shared by another program, that percentage of total costs (e.g., lease, fuel, maintenance, insurance) must be charged to another source. The cost of insurance is allowable with limitations contained in OMB Cost Principles Circular A-87, Attachment B, No. 25.

<u>Travel and Per Diem</u>

Grantees must budget sufficient travel costs to attend all ADP required SDFSC programs and activities to be held in California. Grantee agency employees may follow their agency travel and per diem guidelines. Subrecipient and contract staff will follow the grantee's travel and per diem policy. Travel must be necessary to the grant, reasonable, adequately documented, and consistent with the grantee's policies, regulations, and procedures that apply to both federal awards and other activities of the grantee. If the grantee does not have a written travel and per diem policy, then state travel and per diem rates and guidelines apply. Travel and per diem expenses may not be paid in advance and must be claimed in the project year that the travel takes place. Out-of-state travel must have prior written ADP approval from the ADP analyst.

<u>Indirect Costs</u>

Costs which, by their nature, cannot be charged directly to a project. Grantees may use their approved indirect cost rate or the restricted indirect cost rate, whichever is less. There may be a cap on the rate allowed. The indirect cost percentage applies only to the *Personnel*, *Travel*, and *Other Direct Costs* budget categories.

Quarterly Claim Forms

A customized quarterly claim form will be sent to you as soon as the initial or annual continuation NOGA is approved. The claim form is a Microsoft Excel spreadsheet and includes five individual worksheets, four for each quarter of a given project year and a fifth to be used as a supplemental claim, if necessary. Each worksheet is labeled at the bottom and corresponds to the reporting quarter. The supplemental claim may be used at the end of the project year if late invoices or unclaimed expenses show up after the last claim is submitted. The supplemental claim form is due 60 days after the end of the project year.

Grantees are reimbursed for actual costs incurred.   The claim form should be submitted with required documentation such as copies of invoices from subrecipients and vendors. The claim form expenditures should correspond to the activities described in the quarterly progress report. Claim forms will not be processed until the corresponding progress report is approved.

Please note that if you are subcontracting/subgranting for program implementation, you are responsible for your subrecipients' and vendors' grant compliance, appropriateness of expenditures, and supporting documentation.

Time Frames and Due Dates

Progress reports and claim forms are due at the same time. Progress reports may be submitted electronically, however, claim forms must be mailed and contain original signatures. The following is a timeline to submit claims to ADP:

☑ Claims are due 30 days after the end of each quarter
☑ Supplemental claim is due 60 days after the end of project year (if applicable).

Claim Procedures

Follow these claim procedures:

☑ Make sure the claim is signed by one of the grantee representatives listed on Page 1 of the NOGA.
☑ Check that the claim is accompanied by necessary attachments (invoices from vendors or subrecipients).
☑ Review the claim to ensure that the form is correct. That is, check to ensure that the beginning balances agree with those in your records and that there are no computation errors.
☑ Review the claim detail and attached invoices to ensure that the charges are authorized, allowable, appropriate, and reasonable.
☑ If the claim is incorrect, incomplete or unclear, you will be contacted by the ADP analyst. Some minor calculation errors may be corrected by the ADP analyst on the original claim. Other problems may require that you submit a revised claim. (See Claim Dispute Notification Form, Section VI, Resources.)

Delinquent Claims

Grantees may request two extensions of up to 14 days each (two times per year). If an extension has *not* been requested and approved, and the claim is over one week late, the grantee will be contacted regarding the status of the claim and a date when the claim will be submitted. If the grantee fails to submit the claim within 30 days after the initial due date, a 30-day late letter will be mailed to the project director or program contact person. If the grantee fails to submit the claim within 45 days after the initial due date, a 45-day late letter will be sent to your grant's *authorizing official*.

Chronic late fiscal reporting may indicate administrative problems occurring within the program. If a grantee continues to be non-responsive to deadlines, the grant will enter a corrective action process. Please see Section V, Other Grant Procedures for more information on corrective action.

Claim Disputes

When corrections need to be made to a grant claim due to disallowed expenditures, missing information, or other errors, a claim dispute notification form will be issued to the grantee describing the changes that need to be made. (See Claim Dispute Notification Form, Section VI, Resources.)

Other Grant Procedures

This section contains information on making grant revisions, describes corrective action phases, and steps for closing out a grant with a timeline for preparing the necessary documentation.

Grant Revisions

As a grantee, you are able to make course corrections and redistribute funds as you discover what works best for your program. You should always discuss potential changes or revisions to project elements or fiscal documents with your ADP analyst before making any changes or revisions. The analyst will determine if the grant agreement must be revised and the appropriate method to do so. When a formal revision with a subrecipient or vendor is necessary (as identified through the following criteria), you may utilize your existing agency contracting procedures; however, formal revisions must be discussed with and approved by your ADP analyst.

Changes that can be made without prior written approval

Grantees (and subrecipients/vendors) are permitted to redistribute project funds without prior written approval between direct costs categories (excluding contractual services and indirect costs) when:
- Cumulative transfers for the current project period do not exceed 10 percent of the current budget, as stated in the Terms and Conditions for the grant.
- There is an approved line item into which funds are being transferred.
- The changes have been discussed with the ADP analyst.

Changes that require prior written approval

Grantees (and subrecipients/vendors) must submit written requests for the following changes:
- Transfer from a training line item to another cost category or line item.
- Creation of a new line item not included in the budget.
- Increase in the number of a specific item over and above the total authorized number in the current budget.
- Transfer of funds to or from the contractual services or indirect cost categories.
- Minor programmatic changes that do not impact the intent of the grant.

Changes that require a formal grant revision (and/or amended subrecipient or vendor contract)

The following formal grant revisions require an updated NOGA:
- A "no cost" time extension.
- Programmatic changes that impact the focus, goals, or target population of the grant.
- Requests for additional funds.
- Permanent changes in project director, authorizing official or fiscal official. (Temporary changes in signatory may be made without a formal grant revision if written delegation of authority is forwarded to ADP.)
- A cumulative transfer between categories that exceeds 10 percent of the approved budget for the current project year.

Corrective Action

ADP strives to develop a collaborative relationship with all its grantees. The ultimate goal is to create a partnership to foster effective AOD programming. You and your ADP analyst have joint responsibility for oversight of federal funds. If evidence exists that federal funds are used in an inappropriate and disallowable manner, steps must be taken to resolve the problem. A course of corrective action for a grant program is taken when the grant is not in programmatic or administrative compliance with the grant requirements and other monitoring or negotiation measures fail.

Corrective action may start at an early stage as a problem or potential problem is identified and brought to your attention by your ADP analyst. For example, an early warning would be a lack of, or non-responsiveness in communication, or consistently missed deadlines. Technical assistance from either the ADP analyst or a TA provider is an effective means of addressing potential corrective action issues in their infancy.

The corrective action process is comprised of three phases. Within each phase there are different issues that can result in corrective action. The procedures implemented will depend on the severity and chronic nature of the problem.

Phase 1: Notice of Violation or Problem

A grant will enter Phase 1 when the ADP analyst identifies a chronic issue or when a grantee consistently has trouble meeting the expectations of the grant. The problem could be administrative or programmatic in nature.

The most common *administrative issues* are:
- Lack of communication or poor communication between the grantee and ADP analyst,
- Missed deadlines for submitting reports or claims,
- Missed deadlines after approved extensions of due dates, and
- Substandard quality of products such as incomplete reports or claims, incorrect information on reports or claims, missing information, incorrect document formats.

Examples of *programmatic issues* that may result in corrective action are:
- Discrepancies between work plan goals and objectives and program activities. This may become evident if the grantee is unable to substantiate information contained in a quarterly or annual report,
- Extensive, unexplained or unjustified delays in program start up, and
- Fiscal discrepancies or inaccuracies reported on claims that do not correlate with program activities or fiscal documentation.

Phase 2: Warning

If the problem continues and issues of concern are not resolved, the grant will move to Phase 2 of corrective action and is considered by ADP to be a high-risk grant.

The Grantee will receive formal notification of their grant's designation as high risk. The notification may contain corrective action *recommendations and/or* corrective action

requirements. Corrective action *recommendations* are provided as guidance to assist the grantee with meeting its goals, objectives, and outcomes, but are at the discretion of the grantee, as the grantee is ultimately responsible for program implementation. Corrective action *requirements* are actions that the grantee is required to comply with to bring them into compliance with the grant's terms and conditions or other grant requirements.

The grantee will be required to submit a plan of corrective action addressing the recommendations and/or requirements in order to remedy the problem. High-risk status will continue until the compliance issues are resolved and the grantee has demonstrated the ability to maintain compliance.

Examples of issues that result in a plan of corrective action include:
- Not adhering to the federal requirements that govern grants, such as the statute, regulations, or OMB circulars,
- Noncompliance with grant terms and conditions, assurances, and certifications as outlined in the grant agreement, and
- Infractions specific to grant requirements (such as lack of substantive involvement from the grantee agency).
- Little or no progress in implementing the program.

Phase 3: Action to Resolve

In the rare case when a high-risk grantee is unable or unwilling to correct the problem, it may be necessary to invoke more severe sanctions or even terminate the grant. At this phase of the corrective action process the grant is considered noncompliant if the plan of corrective action was not implemented or did not result in adequate change, or additional problems surface.

Sanctions

There are various sanctions that the department can impose if other corrective methods fail. The following list contains possible sanctions of varying degrees of severity:
- Temporarily withhold funds (such as holding a claim for payment).
- Require more frequent reporting, such as monthly reports that contain more detailed information.
- Mandate the use of technical assistance.
- Conduct a monitoring site visit (as opposed to a TA site visit).
- Reduce the grant amount.
- Deny the renewal of a grant also known as denial of refunding.
- Terminate the grant.

Monitoring Site Visit

Through the course of the corrective action process, ADP may require a monitoring site visit. If a grant is entered into correction action, a monitoring site visit will help to determine the status of the grant and ensure that adequate progress is being made by the grantee toward grant compliance.

Grant Close-Out

This section describes the grant closure process at the end of the project period. There are several documents required for grant closure including:

- Last Quarterly Progress Report and Claim,
- Final Supplemental Claim (if necessary),
- Final Grant Report; and the
- Declaration of Supplies and Equipment Form.

Approximately three months before the end of the project period, the ADP Analyst will send out a close-out letter. This letter will include close-out instructions, the final report format and instructions, and the declaration of supplies and equipment form with instructions. (Section VI, Resources contains additional information.)

Final Quarterly Progress Report and Claim

The final quarterly progress report and claim are due 30 days after the end of the final project year. Since this is the last reporting period of the grant, if the final quarterly progress report and claim are not received by the initial due date, a 30-day late letter will be sent directly to the grantee authorizing official with a copy to the project director.

Final Report and Supplemental Claim

The final report and supplemental claim are due 60 days after the end of the final project year. The final report is similar to the format of the annual report, but should summarize activities for the entire grant period, rather than a single project year. This is your chance to "tell your story" and highlight the impact of your project. (See Reporting Program Progress.)

The final supplemental claim form is your last opportunity to be reimbursed for unclaimed, allowable expenses incurred during the final project year. Unclaimed expenses for prior project years *may not* be submitted on the final supplemental claim.

Declaration of Supplies and Equipment Form

The federal government requires that grantees disclose the details of property purchased with federal grant funds. The grantee authorizing official completes and certifies the declaration of supplies and equipment form.   The disposition instructions for equipment and supplies are included in the Code of Federal Regulations [34 CFR 74.31-37 or 80.31-32 (SDFSC)].

Equipment— The federal definition of equipment is tangible, nonexpendable personal property having a useful life of more than one year and an acquisition cost of $5,000 or more per unit.

- If the fair market value of the equipment is less than $5,000 upon close-out of the grant, the grantee can keep the equipment or dispose of it as they wish.
- If the value is over $5,000 and the grantee will be using the equipment for another federally-funded program, they may continue to use the equipment without reimbursing ADP. If the grantee will not be using the equipment for the purposes of another federally-funded program, then the grantee must reimburse ADP for the fair market value of the equipment.

Supplies—is defined as all tangible personal property, other than equipment, as defined above.

- If the grantee has unused supplies that exceed $5,000 in *total fair market value* upon close-out of the grant and the grantee needs these items for another federally-funded program, the grantee may retain the supplies.
- If the grantee will not be using these items for another federally-funded program, and the value exceeds $5,000, the grantee can either retain the items or sell the items but must compensate ADP its share.

Settlement of Accounts

It is important to end contracts before the end of the grant period to allow sufficient time for you to finish final reporting and settlement of accounts. You must settle all accounts with subrecipients and vendors, and liquidate all obligations incurred under the grant to report no later than 60 days after the grant period ends. *Once the grant has been closed, any invoices received by the grantee will be the responsibility of the grantee, even if the funds were obligated before the grant was closed.*

You are responsible for refunding ADP if under the provisions of the grant the following is determined:
- The grant funds paid to the grantee exceed the amount to which the recipient is entitled,
- The project has received royalties or program income,
- Other amounts are determined to be due to the state per the provision of the grant award, and/or
- Interest or other investment income has been earned on advances of grant funds.

Retention of Records

Grantees are required to retain grant records for three years after submission of the final claim. However, there are exceptions in the case of any litigation, negotiation, or other action involving the records that started before the expiration of the 3-year period.

Time Frames and Due Dates

The following table includes procedures and timeframes for grant close-out.

90 days prior to grant end	☑ The ADP Analyst will mail closeout letter with instructions, attachments, and required forms.
30 days after grant ends	☑ Final quarterly progress report and claim are due.
60 days after grant ends	☑ Final report, supplemental claim (if applicable), and declaration of supplies and equipment form are due.
3 years after	☑ Dispose of grant records according to federal requirements.

No-Cost Time Extension

A no-cost extension may be requested if the grantee requires additional time beyond the established expiration date (project end date) to fully complete its program plans and objectives proposed in the original application, or accomplish orderly phase-out of the project. The fact that funds remain at the expiration of the grant is not, in itself, sufficient justification for a no-cost extension.

Requests must be made in writing, signed by the grantee's Authorizing Official and submitted to ADP *45 days before the end of the grant period.* Requests for a no-cost extension must include a detailed programmatic justification explaining why it is crucial for the project to be granted a time extension, conditions that contributed to need for the extension, length of time extension is requested, project plans and objectives proposed for the time extension, and impact on project goals and objectives if extension is not received.

The request for a no-cost extension may include an additional request to carryover unexpended funds. The carryover request must include a justification and plans for use of carryover, the amount of current year funds requested for carryover that will be used during the extension period, and a line-item budget and budget narrative (current year and proposed carryover). If unobligated balance is significant (25% of the current budget period's total costs), provide explanation of why available funds were not used.
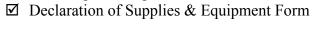
Requests will be considered on a case-by-case basis. Justifications must demonstrate extraordinary circumstances or external factors that contribute to the need for an extension. Poor planning does not constitute reasonable cause for an extension.

If a request is approved by ADP, a revised NOGA that includes a new grant end date along with the extension justification, will be forwarded to the grantee for signature and board of supervisors approval as necessary.

The following forms and templates are currently used for ADP grants.

Forms and Templates

- ☑ Claim Form
- ☑ Claim Form Instructions
- ☑ Claim Dispute Notification
- ☑ Quarterly Report Template
- ☑ Annual Report Template
- ☑ Final Report Template
- ☑ Declaration of Supplies & Equipment Form

Claim Form

This is a partial example of a quarterly claim form. The form is an Excel spreadsheet. Each year the claim form is updated by your ADP analyst with current budget information and the cells are protected to avoid accidental changes in formulas.

The highlighted (yellow) areas are unprotected and available for you to fill in. As the claim detail is entered, for example the personnel costs on page 2, the indirect rate is automatically calculated and the totals forward to the first page.

The Excel file contains worksheets for each quarter of the project year plus a supplemental claim.

Claim Form Instructions

As a grantee, you are responsible for the effective and efficient administration of the project through the application of sound management practices. Only approved budgeted costs outlined in the Notice of Grant Agreement (NOGA) that are reasonable and supported by proper source documentation, will be eligible for reimbursement. (See Determining Allowable Costs for additional information.)

- Your grant program claim form has been customized by your ADP analyst to match the approved grant budget. All information required for the claim form is listed below.
- All cells except those that are highlighted in the spreadsheet are protected and will not allow you to change or add information. This has been done to simplify the form and to ensure that formulas are correct.
- When a budget revision is approved, your analyst will make changes to the existing claim form and send the revised claim form to the project director. (See Additional Information-Revisions for more detailed information.)
- If you find an error in the form, contact your ADP analyst and they will send an updated form.
- Fill out the claim forms completely. Any cells for which you do not have expenses in a given quarter may be left blank. Since the form fills in some cells automatically, it is helpful to start with the detail at the back of the claim and move to the front.

How to Submit Your Claim Form

Once you have input all of your information, please print out the form, obtain approver's signature in blue ink, and mail it to your ADP analyst. Email an electronic copy and mail the originals to your ADP analyst. Both addresses are on the first page of the claim form.

Processing of Claim for Payment

- The signed claim form must be accompanied by the quarterly progress report in order to be processed for payment.
- Grantee is reimbursed for expenditures incurred in accordance with the approved budget.
- Grantees are responsible for ensuring accurate information and sufficient documentation. If corrections need to be made to your claim, you will receive a memo (Claim Dispute Notification form) explaining the deficiencies.
- Work with your ADP analyst in a timely manner. Corrected claims should be resubmitted to ADP within 10 days of receiving notification of error.

Due Date

Claims are due 30 days after the end of each calendar quarter. Supplemental claims are due 60 days after the last quarter of the project year. If you anticipate a delay in submitting the claim forms, contact your ADP analyst immediately.

Claim Summary and Detail

The majority of the cells on the first page of the claim are filled in automatically from information provided in the claim detail.

Columns A and B: These columns contain approved budget amounts and the balances at the beginning of the claim period.

Column C – Adjustments: If you are making an allowable budget revision, you will use this column to make the category budget adjustments to your claim form. (See section on Grant Revisions.) Enter the amounts being added and subtracted in the appropriate cost category line. To subtract, type the minus symbol "-" and then the number. Excel will place brackets "( )" around the number. Grantees should always discuss revisions to project budgets with their ADP analyst to determine the appropriate method for making changes to their grant agreements and claim forms.

Column D – Current Expense: The current expenses for each line item will automatically be filled in by the figures you will provide on the claim's detail pages (Personnel Costs, Travel Expenses, Other Direct Costs, etc.)

Column E – Ending Balance: The ending balances for each line will be automatically computed and carried forward to the worksheet for the next reporting period.

Authorized Signatory: The claim form must have an original signature (in blue ink) of an individual (Project Director, Authorizing Official Fiscal Officer or Accounting Official) whose name appears on Page 1 of the NOGA. By signing the claim form, this person certifies that the claim is an accurate report of expenditures and that the expenditures were made in accordance with the grant provisions. This certification includes payments that were made to the grantee's sub-recipients.

Personnel Costs
Enter the costs incurred during the quarter for salary and benefits for each position listed on the claim form.

Travel Expenses
- Under the heading Travel Expense Costs, your ADP analyst has entered the line items from your approved budget. Please enter the costs incurred during the quarter for these travel expenses.
- Under the heading Travel Expense Detail, provide names of persons traveling, destination, purpose, and dates of travel.
- Additional travel details should be provided in your quarterly progress report.
- Grant agency employees may follow their agency travel and per diem guidelines.
- Contracted staff will follow the grantee's policy on travel and per diem. Travel must be necessary to the grant, reasonable, adequately documented, and consistent with the grantee's policies, regulations, and procedures that apply to both federal awards and other activities of the grantee. If the grantee does not have a written travel/per diem policy, then State travel and per diem rates and guidelines apply.
- The grantee will be responsible for compliance and adherence to these guidelines.
- Out-of-state travel must have prior written ADP approval.

Indirect Costs

The allowable indirect cost rate is established by the federal government in the grant. This allowance is designed to cover a portion of the overhead or administrative costs that grantees incur in the course of doing business. The approved percentage is formulated into the claim form and is used to compute the correct amount of indirect costs, based on the amount of direct costs that were incurred.

Contractual Services

- All sub-recipients and vendors are listed in the Contractual Services section of the claim form. You may be required to complete a Sub-recipient claim detail section if a sub-recipient functions as the primary program provider. If so, the claim form will contain a section for this information.
- Attach copies of all sub-recipient and vendor invoices signed and approved for payment. Occasionally, the ADP analyst may request additional fiscal documentation to check for appropriateness of charges, to ensure the invoices match the approved contract budget, or if the grant is in corrective action.

Percent Retention

Some grantees retain a percentage of contract invoices until completion of the project. If this is a policy of your agency, please insert the percentage withheld. If not, you may leave the percentage as zero or blank.

CLAIM DISPUTE NOTIFICATION

(Mail in a window envelope)

Grantee
Address

Date
_____
Claim Number
_____
Amount
_____
Date
_____
Grant Number(s)
_____

The claim referenced above is disputed for the following reasons:

☐ Expenditures not compliant with grant regulations

☐ Incorrect claim amount

☐ Claim not properly executed

☐ Incorrect adjustment

☐ Duplicate claim

☐ Supporting documentation missing:

_____

☐ Additional information needed:

_____

☐ Other: _____

_____

THIS NOTIFICATION IS A FOLLOW-UP TO A PHONE/EMAIL COMMUNICATION WITH THE PERSON FROM YOUR AGENCY WHOSE NAME APPEARS BELOW

NAME   DATE OF COMMUNICATION

IF YOU HAVE ANY QUESTIONS REGARDING THIS DISPUTE, CONTACT:

NAME   TELEPHONE NUMBER

FOR STATE AGENCY USE ONLY

DATE DISPUTE RESOLVED:

INITIAL:

RESOLUTION:

RETURN A COPY OF THIS NOTIFICATION WITH THE CORRECTED CLAIM.

(For your convenience, the return address has been positioned for use in a window envelope.)

RETURN
  TO:

Distribution:
Original   Grantee
Copy 1   ADP Accounting

Copy 2

Project Title: Project Title Here   **Grant Number:** SDF07-xx

County Name: **County Name Here**
Subcontractor Name: **Subcontractor**

<div align="center">

SDFSC QUARTERLY PROGRESS REPORT

Report Period: MM/DD/YY THROUGH MM/DD/YY

This report must accompany invoice for payment.

</div>

Phase I—Program Preparation

Phase II—Implementation

Phase III—Data Gathering and Analysis

Phase IV—Evaluation

Issues and Concerns
Were there any problems encountered that affected project progress, and what steps were taken to overcome the problems? For example, delays in contracting, personnel issues, etc. and how you are working through the problem.

Is planned work ahead, behind, or on schedule? When do you expect to be on track if behind?

How will project delays affect the total project cost and time schedule?

Expenditures
Provide a narrative explanation of expenditures for reporting period:

- *Travel & Per Diem –Describe the purpose of the travel, what outcomes were achieved as a result of the travel and how it relates to the program goals and objectives.*

- *Contractual – Provide a narrative of travel conducted by subcontract staff as requested above. Be sure to attach copies of all subcontractor(s) invoices.*

Upcoming Events:
If applicable, provide a list of events that will occur during the next quarter.

Project Documentation:
Please include copies of any project outcomes/materials developed during this quarter.

Quarterly Progress Report Instructions

Grantees are required to submit quarterly progress reports for each calendar quarter, or portion thereof, during which the grant is in effect. Reports are due no later than 30 days after the close of each calendar quarter (January 31, April 30, July 31, and October 31).

Report Period
For each quarter, change reporting period to reflect current quarter dates.

Phase I through Phase IV
Under each phase, copy each activity as it appears on your approved three-year work plan. For each phase, provide details describing:
- What work was done,
- The various tasks/activities/meetings that were carried out by project personnel and sub-recipients/vendors in the various phases,
- Who participated, number of participants,
- When and where tasks/activities/meetings took place,
- How much was accomplished towards accomplishing your project goals, and
- Provide quantitative information as applicable (i.e., number of school sites, numbers serviced, etc.).

Note: If a particular activity/task was not worked on during the quarter, you may report "no action occurred." However, please provide a brief explanation if appropriate.

Issues and Concerns
Describe any issues and concerns that affected the project progress. Also include any steps taken to overcome these issues.

Expenditures
Describe the purpose of travel for County AOD staff and subrecipients/vendors, what outcomes were achieved as a result of the travel, and how it related to the programs goals and objectives. Also include information on significant expenditures such as computer purchases, or details associated with the claim that are not explained in the budget narrative, (e.g., rebates received).

Upcoming Events
If applicable, provide a list of upcoming events for next quarter.

Project Documentation
Please include copies of any materials or documents (i.e., brochures, agendas, etc.).

Reminders
- Only report what occurred in the current quarter.
- Reports should be fluid.
- Don't include activities that are not funded by this grant.

California Department of Alcohol and Drug Programs
Safe and Drug Free Schools and Communities
Annual Report
Project Year 20xx

The purpose of the Safe and Drug Free Schools and Communities (SDFSC) annual report is to provide information on grantee progress toward meeting the goals and objectives of the grant, and the steps being taken to ensure that the Principles of Effectiveness are being implemented over the course of the project year. The purpose of the SDFSC final report is to summarize the accomplishments made over the entire project period. While the report must be in a narrative format and not rely on attachments to "tell the story," detailed and quantitative information should be provided when appropriate.

The following outline is provided as a guideline for structuring your report. It is expected that each of the major categories and numbered questions will be addressed.

I   Project Description
   A. Please provide a brief description of your project. Include the ATOD-related problem and/or risk or protective factor this project addresses.
   B. What science-based prevention program or strategy are you implementing? Are you implementing a model program? By which agency has it been approved (e.g., CSAP)?
   C. For each of your core service components, describe the level of implementation achieved. Were services provided at expected levels of duration and frequency? *Be sure to note if there have been any changes to the service design and the reason for the changes. Please describe any delays that occurred and the reason for the delay.*
   D. If implementing a model program, describe any adaptations you've made to the program (i.e., partial implementation of a curriculum or modifications to intended frequency and duration) and how program fidelity is being ensured.

II   Target Population
   A. Describe your strategies for targeting and recruiting appropriate youth and/or families for your project? *Describe any screening or recruitment tools that are utilized as well as any barriers to recruitment.*
   B. For each core component, list the number of participants that have been recruited and the demographic characteristics of the participants (i.e., age, gender, and ethnicity). *Describe any changes to your target population from your initial proposal.*
   C. How are youth retention rates being tracked within each service component? To what extent are you tracking overlap in youth participation across the core program components?

III   **Program Planning, Management, and Collaboration**
    A. Describe the role of the county AOD office in managing and monitoring the SDFSC project and extent to which the county AOD staff has actively participated in the project planning and implementation. *Describe any grant/subrecipient staffing structures that have changed and reason for change.*
    B. Identify the service partners and their roles. *Describe any changes in service partners from original proposal.*
    C. How have you achieved key stakeholder involvement (including local educational agencies and parents of participants)? How are you providing program feedback to these individuals? *Please identify specific methods (i.e., advisory boards, focus groups, satisfaction surveys) and any successes and challenges encountered.*

IV   **Results/Outcomes**
    A. Describe the data collection tools that are being utilized and identify any changes that have been made to the evaluation design from what was originally proposed.
    B. For each of the grant goals and objectives, describe the progress made towards data collection and include evaluation findings.
    C. Were there any unanticipated results, either positive or negative, that you have not already described? If yes, please describe the implications to the grant.
    D. What difference is this grant making in your community and for the target population you are serving?

V   **Lessons Learned**
    A. Describe what you have learned based on the results and outcomes you reported in Section IV and what, if any, programmatic or organizational changes you feel should be made to the project as a result of this new knowledge.
    B. Did external or environmental factors (e.g., an economic downturn, a partner organization discontinuing services, etc.) affect the achievement of your program, organizational goals, or the anticipated timeline? If so, what did you do to address these issues?
    C. Please identify any areas that you believe the program could benefit from receiving technical assistance.

VI   **Future Efforts and Sustainability**
    A. Describe your progress toward sustaining the project beyond the grant period. *Include any barriers to program sustainability.*
    B. If you have identified areas where increased collaboration between agencies would lead to positive outcomes for your participants, briefly describe your ideas.

California Department of Alcohol and Drug Programs
Safe and Drug-Free Schools and Communities
Final Report
Project Period: Month/Day/Year - Month/Day/Year

The purpose of the Safe and Drug-Free Schools and Communities (SDFSC) final report is to summarize the accomplishments of the entire project period. The following outline is provided as a guideline for structuring your report. It is expected that each of the major categories and numbered questions will be addressed in order to:

- Provide information on progress toward meeting the goals and objectives of the grant using narrative supplemented with detailed quantitative information when appropriate.
- Provide evidence that the Principles of Effectiveness (POE) were implemented over the course of the project

 (Note: Although this is a "final report," some areas require information specifically related to Year Five.)

I   Credits
Include in your report a statement of credit for this grant project. Here is an example: "This project is a part of the California Department of Alcohol and Drug Programs' Strategic Plan and was made possible through the support of the California Department of Alcohol and Drug Programs and the United States Department of Education."

II   Disclaimer
Provide a disclaimer for this grant project. An example of a disclaimer follows: "The opinions, findings, and conclusions expressed in this publication are those of the authors and not necessarily those of the California Department of Alcohol and Drug Programs or the United States Department of Education."

III   Executive Summary
Please provide a one-to-two page executive summary that includes an overview of the project including the problem addressed, the project goals, strategies employed to address the problem, and results or outcomes achieved. The summary should include the grantee, project name and a contact person for information. In addition to providing ADP management with a concise synopsis, this summary can be used to share information with your community and to help display your project.

The Center for Applied Research Solutions (CARS) has created an executive summary template and guide questions. If you choose to do so, you can complete the guide questions and submit your data to CARS who will take the lead in packaging your information into an executive summary that you can submit to meet this requirement.

IV   Needs Assessment
    A. A description of your needs assessment process and key findings has already been provided in the original grant application and previous reports. Please describe:
        1. To what extent data will continue to be collected for your county past the grant funding, including risk factors, prevalence rates, and harmful consequences.
        2. How your ongoing needs assessment ties back to your overall county Strategic Prevention Framework needs assessment process.
        3. Successes and/or challenges to accessing and analyzing data.
        4. Lessons learned or resources developed relative to the needs assessment process which may benefit future prevention efforts in your county.

V   Project Implementation
    A. A description of your project has already been provided in the original request for application, Grantee Profile and previous reports. Please build upon this initial description by documenting any differences between how the program was planned versus how the program was actually implemented.
        1. Be sure to note any changes to the program design over time and the reasons for the changes.
        2. Please describe the extent to which the model program or strategy(ies) implemented were adhered to and/or modified to meet the specific needs of your community.
        3. What were the successes and challenges associated with implementing model programs/evidence–based strategies in a real-world setting? To what extent was there a gap between the research and the practical application?
    B. One of the POE's requires grant programs to consult with parents in a meaningful and ongoing basis.
        1. Please describe how your grant program collects input from parents.
        2. Describe any successes/challenges regarding parental involvement.
        3. Will this be an ongoing piece of your sustained program? Please describe any modifications.

VI   Target Population
    A. Describe your strategies for targeting and recruiting appropriate youth and/or families for your project. *Describe any screening or recruitment tools that were utilized as well as any barriers to recruitment.*
    B. For each core component, list the number of participants that were recruited and the demographic characteristics of the participants in Year Five only and Years One through Five collectively (i.e., age, gender, and ethnicity). *Describe any changes to your target population from your initial proposal.*
    C. How were youth retention rates tracked within each service component? To what extent did you track overlap in youth participation across the core program components?

VII   Program Management and Collaboration
    A. Describe the role of the county alcohol and other drugs (AOD) office in managing and monitoring the SDFSC project and extent to which the county AOD staff actively participated in the project.

B. Describe subrecipients (direct service providers) and their roles. *Note any changes from original proposal.*
C. Describe any grantee/subrecipient staffing structures that changed, the reason for change and the impact on the program.
D. How did you achieve key stakeholder involvement? Please describe collaboration with local educational agencies. How did you provide program feedback to these key stakeholders? *Please identify specific methods (i.e., advisory boards, focus groups, satisfaction surveys) and any successes and challenges encountered.*

VIII   Results/Outcomes

A. Please describe the overall progress made toward reaching the long term goals and objective(s) identified in your logic model. Please include key findings/data to support your progress. Please attach evaluation report if applicable.
B. Were there any unanticipated results, either positive or negative, that you have not already described? If so, describe the implications to the grant.
C. What difference has this grant made in the target population and community you are serving? How is the difference substantiated in the data?
D. Please describe how your evaluation results will be used to refine, improve, and strengthen your program and guide future prevention efforts.
E. Describe how program evaluation results are being made available to the public.

IX   Lessons Learned

A. Describe what you have learned based on the results and outcomes you reported in Section IV and V. To what extent are these learnings applicable to future county prevention efforts?
B. Did external or environmental factors (e.g., an economic downturn, a partner organization discontinuing services, etc.) affect the success of your program, organizational goals, or the anticipated timeline? If so, what did you do to address these issues?
C. Identify areas where you believe the program benefited from receiving technical assistance. Were there areas where more technical assistance would have been helpful?
D. What lessons and/or resources could you share with other counties as a result of this grant?

X   Future Efforts and Sustainability

A. Please describe how the program will be sustained beyond the grant period. If the entire program is not being sustained, however, certain aspects of the program will continue, please describe and include what factors contributed to this decision.
B. Will collaboration between agencies established for the purposes of this grant continue? If so, how?

DECLARATION OF SUPPLIES AND EQUIPMENT

Directions: Please have the Authorizing Official of the Applicant Agency check the accurate statement and sign for each section below. Equipment means tangible, non-expendable, personal property having a useful life of more than one year and an acquisition cost of $5,000 or more per unit.

Please return your completed form along with your final supplemental claim and report.

County Name and Grant Number: _____

Grant Completion Date: _____

Name of Grantee Organization: _____

Property and Equipment *(Check the accurate statement below; sign and date)*

☐   I certify that during the grant project period, grant funds were *not* used to purchase any items of property or equipment with a unit acquisition cost of $5,000 or more and a useful life of more than one year.

☐   Grant funds were used during the grant project period to purchase items of property or equipment with a unit acquisition cost of $5,000 or more and a useful life of more than one year. *(See note at bottom of page)*

_____   _____
Printed Name   Signature and Date

Supplies *(Check the accurate statement below; sign and date)*

☐   I certify that the aggregate residual inventory of **unused** supplies purchased with grant funds does not exceed $5,000 at completion of the grant project period. The estimated residual value at grant project period completion is $ _____ .

☐   The aggregate residual inventory of **unused** supplies purchased with grant funds exceeds $5,000. I certify that the unused supplies will be transferred to another federally funded program at no cost. Please provide program name:_____ .

☐   The aggregate residual inventory of **unused** supplies purchased with grant funds exceeds $5,000. I certify that the unused supplies will be retained. ADP will be compensated for the cost of the unused supplies in the amount of $ _____ .

_____   _____
Printed Name   Signature and Date

Note: If the unit acquisition cost of any items of property and equipment purchased with grant funds does exceed $5,000, please contact your Analyst at ADP for disposition instructions. Closeout of the grant does not impact the property management requirements set forth in the Code of Federal Regulations [45 CFR 74.31-37 or 92.31-32 (SIG); 34 CFR 74.31-37 or 80.31-32 (SDFSC)], as applicable.

The following is a list of frequently used acronyms and definitions that may be of help to you.

Alcohol and Other Drugs (AOD)(ATOD): Any beverage containing alcohol (such as beer, wine, and whiskey) and other drugs (licit and illicit). Also appears as ATOD when specifically addressing tobacco.

Alcohol and Other Drug (AOD) Agencies: Alcohol and drug service providers, alcohol and drug advisory boards, community organizations that provide AOD services, county alcohol and drug administrators, ADP, and other organizations involved in areas closely related to AOD prevention, treatment, and recovery services.

Alcohol and Drug Programs (ADP): Refers to the California Department of Alcohol and Drug Programs.

AOD Community Prevention: The design, implementation, and maintenance of a comprehensive, integrated, inclusive, and culturally competent system of AOD prevention programs, services, policies, and initiatives. AOD community prevention serves to build community assets and reduce and manage the risks and problems attributable to and/or resulting from the availability and use of ATOD in a given community.

AOD Prevention: Policies, practices, and procedures to prevent and reduce alcohol- and other drug-related problems that adversely impact the health, safety, and economic conditions of California residents and their communities. Prevention actions: a) modify social norms and conditions to counter harmful consequences resulting from AOD availability, manufacturing, distribution, promotion, sale and use; and b) effectively address at-risk and underserved populations and their environments. There are three prevention levels in the continuum of services: universal, selective and indicated.

AOD Prevention Field: Entities involved in AOD prevention programs or initiatives, which include community-based organizations or local groups, faith communities, school systems, AOD prevention service programs/providers, county alcohol and drug administrators, ADP, and other governmental agencies.

AOD Screening is a formal process to determine whether an individual warrants further attention at the current time for alcohol or other drug use. Note that the screening process does not necessarily identify what kind of problem the person might have or how serious it might be but determines whether further assessment is warranted. For SDFSC grantee's, age-appropriate screening is used to identify the AOD level of risk present for an individual to determine: 1) if the individual is appropriate for AOD prevention services, or 2) if the risk level is too high for prevention services to provide optimum benefit, in which case the person needs referral for an AOD treatment assessment or other services.

Annual Report: A formal accounting of outcomes of a program for a project year.

Assessment: An AOD assessment consists of gathering key information and engaging in a process with the individual that enables the qualified counselor to understand the individual's readiness for change, problem areas, and the presence of substance abuse disorders, disabilities, and strengths. An assessment involves a clinical examination of the functioning and well-being of the individual and includes a number of tests and written and oral exercises. The assessment process eliminates false positive screening results. Once the positive results are confirmed, the assessment then determines the severity of the AOD problem. The information gained in the assessment will be used to provide data to help determine the appropriate treatment level of care.

At-Risk Youth: A minor whose environment increases their chance of becoming a teen parent, school dropout, gang member, or user of alcohol and drugs.

Augmentation: Funding added to a grant after the original award.

Authorizing Official: The individual authorized to enter into the legal agreement on behalf of the grantee organization.

CADPAAC: County Alcohol and Drug Program Administrators Association of California.

CARS: Center for Applied Research Solutions (an ADP TA Contractor).

California Outcome Monitoring Program (CalOMP): Applies system performance data collected and compiled from CalOMS Prevention and CalOMS Treatment and other AOD-related sources. Strategically, CalOMP provides status and progress measures toward CSAP/T, the Department and county AOD agency goals. Tactically, it provides information used for ADP planning, resource allocation, workforce development, implementation, evaluation and data-based continuous quality improvements.

California Outcome Measures System (CalOMS) Prevention: A project initiated by the Department to collect prevention data from programs and county ADPs to meet reporting requirements for SAPT-funded services. *[**Note:** The acronym CalOMS is also defined as California Outcomes Measurement System Treatment (CalOMS Treatment) which uses a database system created, hosted and maintained by the Department, as differentiated from CalOMS Prevention service contracted for prevention data collection.]*

Center for Substance Abuse Prevention (CSAP): An agency within the Substance Abuse and Mental Health Services Administration (SAMSHA) which is an operating division of the U.S. Department of Health and Human Services (HHS). CSAP works to improve the quality of substance abuse prevention practices nationwide. Through its discretionary grant programs, the Center provides States, communities, organizations and families with tools to promote protective factors and to reduce risk factors for substance abuse. CSAP also supports the National Clearinghouse for Alcohol and Drug

Information (NCADI), the largest Federal source of information about substance abuse research, treatment and prevention available to the public.

Center for Substance Abuse Treatment (CSAT): Federal treatment services agency (also part of SAMSHA – see above).

CFDA: The Catalog of Federal Domestic Assistance is a summary of federal programs, projects, services, and activities. All federal grants are given a CFDA number. The grant CFDA number is located in Box 12 of the grant NOGA.

CFR: The Code of Federal Regulations is a codification of the general and permanent rules published in the Federal Register by the executive departments and agencies of the Federal Government.

Club Live (CL) – A program component of the California Friday Night Live Program for middle school students.

Community-Based Organization (CBO): A public or private nonprofit organization of demonstrated effectiveness that is representative of a community or significant segments of a community, and provides educational or related services to individuals in the community.

Community Prevention Institute (CPI): A comprehensive training and technical assistance system which serves as a central point of access to AOD community prevention training and technical assistance resources.

Consultation: The provision of expert advice, guidance, or information through written correspondence, telephone conversations, or on-site assistance. On-site assistance is short-term in nature and programmatic in content and may be provided via the ADP TA contractors.

Continuum of Services: An Institute of Medicine (IOM) model for public health that ADP uses to conceptualize AOD prevention-treatment-maintenance services. There are three prevention intervention classifications in the continuum:
> Universal – serves an entire population (e.g., state, community, school, or neighborhood),
> Selective – serves an identifiable subset of a population that is at higher risk of AOD problems by virtue of being members of this grouping (e.g., college students, dropouts, children of AOD abusers, or specific risk factors), and
> Indicated – serves an individual not diagnosed as needing AOD treatment, but who is experiencing AOD-related problem behaviors/consequences.

Cost Disallowance: A charge to a grant that is determined to be unallowable, according to the applicable cost principles or other award terms and conditions.

Cultural/Linguistic Competence: A set of congruent behaviors, attitudes, and policies that come together in a system, agency, or among professionals that enables effective

work in cross-cultural situations. "Culture" refers to integrated patterns of human behavior that include the language, thoughts, communications, actions, customs, beliefs, values, and institutions of racial, ethnic, religious, or social groups. "Competence" implies having the capacity to function effectively as an individual and an organization within the context of the cultural beliefs, behaviors, and needs presented by consumers and their communities. *(Based on Cross, T., Bazron, B., Dennis, K., & Isaacs, M., (1989). Towards A Culturally Competent System of Care Volume I. Washington DC: Georgetown University Child Development Center, CASSP Technical Assistance Center).*

Debarment: A discretionary action taken by a debarring official in accordance with Executive Order 12549 and the regulations contained in 34 CFR Part 85, 45 CFR Part 76 to exclude a person from participating in "covered" contracts or from receiving federal grant funds. A person so excluded is "debarred."

Denial of Refunding: A form of withholding support where a continuation of an award is denied.

Department of Health and Human Services (DHHS): The United States government's principal agency for protecting the health of all Americans and providing essential human services, especially for those who are least able to help themselves.

EDGAR: The education Department General Administrative Regulations (Federal)

Educational Service Agency (ESA): The term "educational service agency" means a regional public multi-service agency authorized by state statute to develop, manage, and provide services or programs to local educational agencies.

Encumber: An encumbrance is an obligation placed on an appropriation to pay for goods or services that have been ordered by means of contracts, salary commitments, etc., but not yet received.

Environmental Prevention: Establishes or changes written and unwritten community standards, codes, and attitudes, thereby influencing incidence and prevalence of the abuse of ATOD used in the general populations.

Federal Fiscal Year (FFY): – runs October 1 through September 30 each year.

Final Report: A formal cumulative accounting of all the project years of a program.

Friday Night Live (FNL): A youth development focused prevention program funded through ADP. The FNL/CL/FNL Kids/FNL Mentoring Program components form youth/adult partnerships with young people, providing programs rich in opportunities and support, so young people will be less likely to engage in problem behaviors, more likely to achieve in school, and more likely to attend higher education or secure a full-time job. FNL's vision is to work hand-in hand with young people so they are both problem free and fully prepared.

Fiscal Year (FY)(SFY): The California State Fiscal Year runs July 1 – June 30.

Governor's Prevention Advisory Council or Governor's Interagency Coordinating Council for the Prevention of AOD Problems (GPAC): Established in August 2002 to coordinate the State's strategic efforts to reduce inappropriate use of alcohol, tobacco and other drugs.

Grantee: The entity to whom ADP has granted funds through a Notice of Grant Agreement.

High-Risk Grantees (or Subrecipients): As identified by appropriate federal regulations, refers to a grantee with any or all of the following circumstances:
- A history of unsatisfactory performance,
- Is not financially stable,
- Has a sub-standard management system,
- Has failed to conform to the terms and conditions of previous awards, or
- Is not otherwise responsible.

Indirect Cost Rate: Is established by the federal grant program. This allowance is designed to cover a portion of the overhead or administrative costs that grantees incur in the course of doing business. Indirect is only calculated on direct cost items, not on contractual services. The indirect cost rate must be supported by a cost allocation plan.

IOM (Institute of Medicine): (See Continuum of Services.)

Local Educational Agency (LEA): The term "local educational agency" means a public board of education or other public authority legally constituted within a state for either administrative control or direction of, or to perform a service function for, public elementary schools or secondary schools in a city, county, township, school district, or other political subdivision of a state, or for a combination of school districts or counties that is recognized in a state as an administrative agency for its public elementary schools or secondary schools.

Logic Model: An analytical approach to planning effective prevention programs that outlines the specific problem(s) to be addressed, strategies to be used, expected outcomes, and the links between strategies and outcomes.

Mentoring: A relationship over a prolonged period of time between two or more people, where older, wiser, more experienced individuals assist youth through the human development process by providing constant, as needed support, guidance and concrete help to a minor whose at-risk environment increases their chance of exposure to teen pregnancy, academic failure, gangs and violence, use of alcohol and drugs, and other at-risk behaviors.

Mentor Programs: Organizations whose function is to provide mentoring services for youth living in at-risk environments.

National Association of State Alcohol and Drug Abuse Directors, Inc. (NASADAD): A private, not-for-profit educational, scientific, and informational organization. NASADAD's purpose is to foster and support the development of effective alcohol and other drug abuse prevention and treatment programs throughout every State. NASADAD serves as a focal point for the examination of alcohol and other drug related issues of common interest to both other national organizations and federal agencies.

No Child Left Behind Act of 2001 (NCLB): now codified in law in United States code 20 U.S.C. Section 7111 et. Seq.

Nonprofit: The term "nonprofit" refers to a school, agency, organization, or institution owned and operated by one or more nonprofit corporations or associations, no part of the net earnings of which may benefit any private shareholder or individual.

Obligate/Obligation: An obligation is "a definite commitment which creates a legal liability of the Government for the payment of appropriated funds for goods and/or services ordered or received."

The term "obligation" includes both obligations, which have matured (legal liabilities), and those which are contingent upon some future performance such as the rendition of services or the furnishing of materials. The obligation takes place when the definite commitment is made, even though the actual payment may not take place until a later date as long as the amount is recorded and supported by documentary evidence.

Office of Grants Management (OGM): ADP's office with overall responsibility for managing federal grants.

Office of Management and Budgets (OMB): Federal agency that establishes government-wide management policies and guidelines through circulars and common rules.

Parent: Includes a legal guardian or other person standing in loco (such as a grandparent or stepparent with whom the child lives, or a person who is legally responsible for a child's welfare.)

Parental/Guardian Involvement: The term "parental/guardian involvement" means the participation of parents or guardians in regular, two-way, and meaningful communication involving student academic learning and other school activities, including ensuring:
- That parents play an integral role in assisting their child's learning,
- That parents are encouraged to be actively involved in their child's education and are included, as appropriate, in decision making and on advisory committees to assist in the education of their child, and
- The carrying out of other activities.

Performance Measures: Multiple, strategic, quantifiable measures to assess a program outcome or result.

Prevention: A proactive process intended to promote and protect health and safety and reduce or eliminate the need for remedial treatment of the physical, social, and emotional problems associated with the consumption of drugs and alcohol. It addresses individuals, the environmental settings in which they live, and the larger community. (Also see AOD Prevention.)

Prevention Services Branch: Is an organizational unit housed within the Department of Alcohol and Drug Programs, Program Services Division, and serves as the lead in providing coordination, guidance and assistance in California's statewide prevention efforts.

Program Services Division (PSD): The ADP Division responsible for both prevention and treatment services.

Principles of Effectiveness (POE): Prevention program accountability requirements developed by the U.S. Department of Education (USDOE) that governs the use of SDFSC prevention grant funds. Grantees receiving SDFSC funds must comply with the POE by providing services that facilitate meeting all of the following:

(1) IN GENERAL- For a program or activity developed pursuant to this subpart to meet the principles of effectiveness, such program or activity shall —
a.   be based on an assessment of objective data regarding the incidence of violence and illegal drug use in the elementary schools and secondary schools and communities to be served, including an objective analysis of the current conditions and consequences regarding violence and illegal drug use, including delinquency and serious discipline problems, among students who attend such schools (including private school students who participate in the drug and violence prevention program) that is based on ongoing local assessment or evaluation activities;
b.   be based on an established set of performance measures aimed at ensuring that the elementary schools and secondary schools and communities to be served by the program have a safe, orderly, and drug-free learning environment;
c.   be based on scientifically based research[1] that provides evidence that the program to be used will reduce violence and illegal drug use;
d.   be based on an analysis of the data reasonably available at the time, of the prevalence of risk factors, including high or increasing rates of reported cases of child abuse and domestic violence; protective factors, buffers, assets; or other variables in schools and communities in the State identified through scientifically based research; and
e.   include meaningful and ongoing consultation with and input from parents in the development of the application and administration of the program or activity.

---

[1] The term scientifically based research means research that involves the application of rigorous, systematic, and objective procedures to obtain reliable and valid knowledge relevant to education activities and programs. For USDOE's full definition, see Appendix C.

2. Periodic Evaluation:
a.   REQUIREMENT- The program or activity shall undergo a periodic evaluation to assess its progress toward reducing violence and illegal drug use in schools to be served based on performance measures described in 20 USC Section 7114 (d)(2)(B).
b.   USE OF RESULTS- The results shall be used to refine, improve, and strengthen the program, and to refine the performance measures, and shall also be made available to the public upon request, with public notice of such availability provided.

Protective Factor or Asset: The terms "protective factor," "buffer," and "asset" mean any one of a number of the community, school, family, or peer-individual domains that are known, through prospective, longitudinal research efforts, or which are grounded in a well-established theoretical model of prevention, and have been shown to prevent alcohol, tobacco, or illegal drug use, as well as violent behavior, by youth in the community, and which promote positive youth development.

Request for Application (RFA): An RFA is a solicitation document used to request applications for funds. An RFA is used in awarding funds to another governmental entity only (city, county, school district, etc.). An RFA cannot be used to award funds to a private organization or individuals.

Research-Based Programs (see Scientifically-Based Research): Prevention programs whose effectiveness has been determined through the application of rigorous, systematic, and objective procedures to obtain reliable and valid knowledge relevant to educational activities and programs.

Risk Factor: The term "risk factor" means any one of a number of characteristics of the community, school, family, or peer-individual domains that are known through prospective, longitudinal research efforts, to be predictive of alcohol, tobacco, and illegal drug use, as well as violent behavior, by youth in the school and community.

Safe and Drug Free Schools and Communities Act (SDFSCA): The purpose of the Act is to foster a safe and drug-free learning environment that supports student academic achievement for the youth of California. This grant program focuses on the needs of at-risk and under-served youth and their environments by creating and supporting programs that prevent the illegal use of alcohol, tobacco, and other drugs (ATOD); prevent violence in and around schools; involve parents and communities; and coordinate with related federal, state, school and community efforts and resources.

Sanctions: The penalty for non-compliance specified in a law or decree. These may include cost disallowance, temporarily withholding funds, suspension, termination, denial of refunding, voiding of a grant; and debarment and suspension under executive order.

Scientifically-Based Research: The term scientifically-based research means research that involves the application of rigorous, systematic, and objective procedures to obtain reliable and valid knowledge relevant to education activities and programs; and includes research that:

- Employs systematic, empirical methods that draw on observation or experiment,
- Involves rigorous data analyses that are adequate to test the stated hypotheses and justify the general conclusions drawn,
- Relies on measurements or observational methods that provide reliable and valid data across evaluators and observers, across multiple measurements and observations, and across studies by the same or different investigators,
- Is evaluated using experimental or quasi-experimental designs in which individuals, entities, programs, or activities are assigned to different conditions and with appropriate controls to evaluate the effects of the condition of interest, with a preference for random-assignment experiments, or other designs to the extent that those designs contain within-condition or across-condition controls,
- Ensures that experimental studies are presented in sufficient detail and clarity to allow for replication or, at a minimum, offer the opportunity to build systematically on their findings, and
- Has been accepted by a peer-reviewed journal or approved by a panel of independent experts through a rigorous, objective, and scientific review.

Screening: (See AOD Screening)

State Educational Agency: The agency primarily responsible for the state supervision of public elementary and secondary schools (e.g., the California Department of Education).

Strategic Prevention Framework (SPF): A tool developed by CSAP in 2005 to plan and implement prevention strategies that systematically address AOD problems on a community or regional basis. The SPF has five steps: 1) assessment, 2) capacity, 3) planning, 4) implementation, and 5) evaluation. Throughout each step are concepts of cultural competence and sustainability. The SPF guides communities to evidence-based education, normative and regulatory approaches that involve practices and policies as well as programs. It is not linear; it is designed for continuous improvement.

Substance Abuse and Mental Health Services Administration (SAMHSA): SAMHSA is a federal agency that funds and administers a rich portfolio of grant programs and contracts that support States' efforts to expand and enhance prevention programs and to improve the quality, availability and range of substance abuse treatment and mental health services—in local communities—where people can be served most effectively.

Suspension: A grant enforcement action that temporarily suspends federal financial assistance under an award, pending corrective action or a decision to terminate the award. Suspensions are temporary actions, not to exceed 18 months, generally leading

to debarment, implemented only when immediate action is needed to protect the government's interest.

Technical Assistance (TA): The provision of specialized services such as advice, guidance, consultation, coordination, instruction or training, and written materials to assist the AOD prevention field to better serve their community; and includes a range of programmatic and management issues related to AOD prevention strategies and activities, financial management, program design and administration, program evaluation, and policy development.

Under-served Populations: "Under-served youth" are: "children and youth who are not normally served by State educational agencies or local educational agencies; or populations that need special services or additional resources such as youth in juvenile detention facilities, runaway or homeless children and youth, pregnant and parenting teenagers, and school dropouts."

Youth Development: The ongoing growth process in which all youth are engaged in attempting to (1) meet their basic personal and social needs to be safe, feel cared for, be valued, be useful, and be spiritually grounded; and (2) to build skills and competencies that allow them to function and contribute in their daily lives, thereby preventing unhealthy behaviors while developing into capable people.