State of Nevada – Grant Manual

Office of Grant Procurement, Coordination and Management

Introduction:

The Nevada State Grant Office was established through the unanimous passage of Senate Bill 233 by Nevada's legislators in the summer of 2011, formally titled the Office of Grant Procurement, Coordination, and Management, with the intent of improving the State of Nevada's performance in applying for and receiving grants.

The Nevada State Grant Office provides a full range of grant support to include: the identification of funding opportunities, grant writing and editing, the review of grant materials, developing collaborations, coordinating grant activities with internal and external partners, obtaining and developing data matrices, budget assistance, grant project management as well as technical assistance with grants.gov system or other grant management systems. The Grant Management team works to simplify the grant application processes by mitigating the hurdles of receiving, managing and monitoring federal grant funds.

In addition, the Nevada Grant Office develops, coordinates and provides grant-related training workshops and resources; ensures Nevada has submitted mandated and accurate state and federal grant information; serves as the Single Point of Contact (SPOC) for Nevada grant applications; and works with agencies and sub-grantees to ensure compliance with federally mandated activities such as the Federal Funding Accountability and Transparency Act (FFATA) and the Digital Accountability and Transparence Act (DATA). The State Grant Office serves as the State Authority on grants.

User Guide Purpose

This user guide is designed to provide guidance related to key elements of grant procurement and management to ensure coordination and consistency throughout state agencies. Implementation of these guidelines will help facilitate programmatic and fiscal accountability. This grant manual works in support of the Nevada Revised Statutes (NRS), Nevada Administrative Code (NAC), and the State of Nevada Administrative Manual (SAM). ***This guide is not designed to relieve the state agencies of their responsibility to ensure compliance with laws, rules, and regulations related to their specific programs and funding sources. Grants are Contracts. Agencies are required to have staff involved with fiscal grant processes trained in Contract Management through the Department of Purchasing. All employees (state and contract) who manage the fiscal and/or program elements of a grant are required to take the grant management training course through the Office of Grant Management. Both are available through the State of Nevada NEBS System.***

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GLOSSARY & TERMS

Accrued Expenditures
Charges incurred by a recipient during a given period requiring the provision of funds for: (1) goods and other tangible property received; (2) services performed by employees, contractors, sub-recipients, and other payees; and (3) other amounts becoming owed under programs for which no current services or performance is required.

Accrued Income
Sum of: (1) earnings during a given period from (i) services performed by the recipient, and (ii) goods and other tangible property delivered to purchasers; and (2) amount becoming owed to the recipient for which no current services or performance is required by the recipient.

Acquisition Cost of Equipment
Net invoice price of the equipment, including the cost of modifications, attachments, accessories, or auxiliary apparatus necessary to make the property usable for the purpose for which it was acquired. Other charges, such as the cost of installation, transportation, taxes, duty or protective in-transit insurance, shall be included or excluded from the unit acquisition cost in accordance with the recipient's regular accounting practices.

Adobe Reader
Software that will allow you to access, complete and submit application packages electronically and securely through Grants.gov.

Administrative regulations
Are specific to each federal department and implement guidance from OMB contained in circulars, presidential executive orders, and legislation that affects all applicants for, or recipients of, federal grants and cooperative agreements.

Advance Payment
A payment made to a recipient upon its request either before outlays are made by the recipient or through the use of predetermined payment schedules.

Agency Enrollment Code
A federal grantor agency identifier within the Grants.gov system; which links grantor users to their participating grantor agency and enables the grantor agency "Super User" to assign rights and responsibilities to members of their agency. The agency enrollment code is required for grantor registration and is only given to members of a grantor agency responsible for managing opportunities, application review, generating reports and other grantor functions at Grants.gov. *This is NOT required for applicants applying for grants*.

Agency Specific Data Sets
Data that an agency collects in addition to data on any of the SF-424 series forms.

American Recovery and Reinvestment Act (ARRA) of 2009
The economic stimulus - making supplemental appropriations for job preservation and creation, infrastructure investment, energy efficiency and science, assistance to the unemployed, and State and local fiscal stabilization.

Application Package
A group of specific forms and documents for a specific funding opportunity which are used to apply for a grant.

Application Package Template
One or more forms and documents which can be reused for multiple opportunity-specific application packages.

Appropriation legislation
A law passed by Congress to provide a certain level of funding for a grant program in a given year.

Authorized Organization Representative (AOR)
An AOR submits a grant on behalf of a company, organization, institution, or government DUNS's number. Only an AOR has the authority to sign and submit grant applications.

Authorizing Legislation
A law passed by Congress that establishes or continues a grant program.

Award
Financial assistance that provides support or stimulation to accomplish a public purpose. Awards include grants and other agreements in the form of money or property in lieu of money, by the federal government to an eligible recipient. The term does not include: technical assistance, which provides services instead of money; other assistance in the form of loans, loan guarantees, interest subsidies, or insurance; direct payments of any kind to individuals; and contracts which are required to be entered into and administered under federal procurement laws and regulations.

Benefits
A payment made or an entitlement available in accordance with a wage agreement, an insurance policy, or a public assistance program.

Brownfields Economic Development Initiative (BEDI):
A large HUD program designed to rehabilitate brownfields, which are former industrial or otherwise environmentally compromised sites. Note that the applicant must be a CDBG formula recipient and the grant is tied to a loan, called a Section 108 Loan. The security for the loan is the jurisdiction's future CDBG allocation. As a result, there are few takers for BEDI grants or the counterpart EDI, which is the same kind of program but without the Brownfields requirement.

Cage Code
A five-character code which identifies companies doing, or planning to do, business with the federal government and is assigned through the SAM.

Cash Contributions
A recipient's cash outlay, including the outlay of money contributed to the recipient by third parties.

Catalog of Federal Domestic Assistance (CFDA) Number
The identifying number that a federal program is assigned in the Catalog of Federal Domestic Assistance (CFDA). Lists the domestic assistance programs of all federal agencies and gives information about a program's authorization, fiscal details, accomplishments, regulations, guidelines, eligibility requirements, information contacts, and application and award process. Produced by the General Services Administration (GSA), it is composed of a unique two-digit prefix to identify the federal agency, followed by a period and a unique three-digit code for each authorized program. For example, all HHS grants are "93.XXX"; DOJ, "16.XXX"; Education, "84.XXX"; and Labor, "17.XXX." Some departments also use alphanumeric numbers, as in "84.184L."

Close Date
The grantor agency designated deadline for submission of a particular grant application. See also Grace Period.

Closeout
Process by which the awarding agency determines that all applicable administrative actions and all required work of the award have been completed by the recipient and the awarding agency.

Code of Federal Regulations (CFR)
Compilation of all final regulations issued by federal agencies and published annually by the National Archives and Records Administration. These regulations give guidance to groups applying for various federal grants. Each grant program will list which regulations apply to that particular grant. See also Regulations.

Community-Based Organization (CBO)
An organization that provides health and human services and is embedded within a particular community or population. In contrast to Faith-Based Organizations (see below), CBOs do not have a religious affiliation.

Community Development Block Grant (CDBG)
A pass-through HUD (Housing and Urban Development) program that allocates funding to "entitlement cities and counties", as well as states for smaller cities and rural areas, on a formula basis; funds can be used for a variety of affordable housing, economic development, infrastructure and other projects.

Community Services Block Grant Program (CSBG)
A pass-through Office of Community Services (OCS) program that allocates funding to "entitlement cities and counties", as well as states for smaller cities and rural areas, on a formula basis; funds can be used for a variety of human services, job training and other projects that benefit low-income persons.

Competition ID
A grantor selected ID that allows further distinction of the funding opportunity number which allows applications with the same funding opportunity number to be assigned unique identifiers.

Competitive review process
The process used by the federal government to select discretionary grant and cooperative agreement applications for funding, in which applications are scored by subject-area experts and the most highly scored applications are considered for funding.

Confidentiality
All Grantees are required to comply with applicable State and Federal confidentiality and privacy rules. Grantees shall collect, maintain, and transmit personal information about service recipients in a manner that ensures security and protects individual privacy (e.g., use of identifiers instead of names or Social Security numbers on any information submitted to the Grantor). Any Grantee that is a covered entity under the Health Insurance Portability and Accountability Act of 1996 (HIPAA) shall also comply with the security and privacy safeguards set forth in Public Law 104-191 (45 CFR 160 and 164). Such safeguards shall not restrict the Grantor's access to protected health information, which may be necessary to determine program compliance (45 CFR 164.512(d)(1)(iii).

Conformance
This test of allowability—conformance with limitations and exclusions contained in the terms and conditions of award, including those in the cost principles—may vary by the type of activity, the type of recipient, and other characteristics of individual awards. "Allowable Costs and Activities" below provides information common to most HHS (Health & Human Services) grants and, where appropriate, specifies some of the distinctions if there is a different treatment based on the type of grant or recipient.

Consistency
Recipients must be consistent in assigning costs to cost objectives. They must be treated consistently for all work of the organization under similar circumstances, regardless of the source of funding, so as to avoid duplicate charges.

Continuation grant
Additional funding awarded for budget periods following the initial budget period of a multi-year discretionary grant or cooperative agreement.

Continuum of Care (CoC)
Authorized under the several "McKinney Act" Programs administered by HUD, Continuum of Care funds are allocated at the local level by regional "Continuum of Care" agencies (see "LAHSA" below) to provide an array of services to the homeless.

Contract
A procurement contract under an award or sub-award, and a procurement subcontract under a recipient's or sub-recipient's contract *(Refer to the SAM Section 1500 and NRS 333 for information on Purchasing requirements.)*

Contractor
An entity that receives a contract as defined in § 200.22 (Federal Citation) Contract. Contract means "a legal instrument by which a non-Federal entity purchases property or services needed to carry out the project or program under a Federal award," but does not include sub-awards (*i.e.*, sub-grants). Nevertheless, the term would include contracts issued by higher-tiered contractors (*i.e.*, subcontracts).

Controlling Documents
For purposes of administration and decisions regarding compliance and operations, the approved grant proposal, agreement, budget, assurances, and any applicable Federal or State regulations and requirements constitute the controlling documents. Both the Grantee and the Grantor shall reference these documents when interpreting or applying rules.

Congressional District
One of a fixed number of districts into which a state is divided, each district electing one member to the national House of Representatives.

Cooperative Agreement
A type of discretionary grant awarded when a federal department determines that substantial involvement with the grantee is necessary during the performance of a funded project. Substantial involvement might include such things as ongoing departmental participation in the project, unusually close collaboration with the recipient, or possible intervention or direct operational involvement in the review and approval of the successive stages of project activities. An award of financial assistance that is used to enter into the same kind of relationship as a grant; and is distinguished from a grant in that it provides for substantial involvement between the federal agency and the recipient in carrying out the activity described through the award.

Cost allocation
If a Grantee incurs a cost for goods or services used by more than one program, the cost must be charged to all programs. Each program will be charged for the percentage of the cost of the goods or services used by each program. The method for determining that percentage is discussed below under No. 2(a).

Cost Sharing or Matching
The portion of project or program costs not borne by the federal government. Federal money cannot be matched with other federal grant or award money or services. Expenditures, volunteer time etc. can only be used for match or cost-share on one project at a time, or total one FTE.

Cognizant agency
It is the federal agency that represents all others in dealing with grantees in common areas. Determination of the cognizant agency is the one that provides the most grant funds to the entity. Health and Human Services is the cognizant agency for most States and cities. For **audit**, cognizant agency means the Federal agency designated to carry out the [audit] responsibilities described at § 200.513," but such agency may not be the same agency responsible for determining a nonprofit's indirect cost rate."

Current Accounting Period
The period of time the recipient chooses for purposes of financial statements and audits.

Data Integrity
The grantee shall protect the confidentiality of all project-related information that identifies individuals. The grantee shall assume responsibility for the accuracy and completeness of the information contained in all technical documents and reports submitted. The work products are owned by the funding agency. The funding agency may request and the State will submit copies of analytic data file(s) with appropriate documentation, representing the data developed/used in end-

product analyses generated under the award. The analytic file(s) may include primary data collected, acquired or generated under the award and/or data furnished by CMS. The content, format, documentation, and schedule for production of the data file(s) will be agreed upon by the State and the grantor.

Data Universal Numbering System (DUNS)
A unique nine-character identification number provided by the commercial company Dun & Bradstreet.

Date of Completion
The date on which all work under an award is completed or the date on the award document, or any supplement or amendment thereto, on which awarding agency sponsorship ends.

Debarment and Suspension
Debarment and Suspension (E.O.s 12549 and 12689)-- Certain contracts shall not be made to parties listed on the non-procurement portion of the General Services Administration in accordance with E.O.s 12549 and 12689. Each award or contract that is funded with Federal money must be confirmed not to be suspended or debarred. The exclusion information is kept within SAM.gov and can be obtained by doing an Advanced Exclusion record search.

Definition of Grantee (Sub-recipient)
For the purposes of this document, an entity that receives a portion of these funds through the Grantee is known as the Sub-recipient.

Digital Accountability and Transparency Act of 2014 (DATA Act)
The **DATA Act** is a law that aims to make information on federal expenditures more easily accessible and transparent. The law requires the U.S. Department of the Treasury to establish common standards for financial data provided by all government agencies and to expand the amount of data that agencies must provide to the government website, USASpending. The goal of the law is to improve the ability of Americans to track and understand how the government is spending their tax dollars. The purposes of this Act are to: 1) expand the Federal Funding Accountability and Transparency Act of 2006 by disclosing direct federal agency expenditures and linking federal contract, loan, and grant spending information to federal programs to enable taxpayers and policy makers to track federal spending more effectively; 2) establish government-wide data standards for financial data and provide consistent, reliable, and searchable government-wide spending data that is displayed accurately for taxpayers and policy makers on USASpending.gov; 3) simplify reporting for entities receiving federal funds by streamlining reporting requirements and reducing compliance costs while improving transparency; 4) improve the quality of data submitted to USASpending.gov by holding federal agencies accountable for the completeness and accuracy of the data submitted; and 5) apply approaches developed by the Recovery Accountability and Transparency Board to spending across the federal government.

Direct loans
Are not grants and must be paid back. Funds are made available to organizations and individuals for a specific purpose and period of time. To make loans attractive to lenders, the government, for some programs, will insure/guarantee the loan. By insuring or guaranteeing the loan, the government protects the lender by agreeing to pay part or all of any default made by those responsible for repaying the loan.

Direct Payment/Unrestricted Use
Financial assistance provided directly to beneficiaries who satisfy eligibility requirements with no restrictions imposed on the recipient as to how the money is spent i.e., retirement and pension payments and compensation programs.

Direct Payment/Specified Use
Financial assistance is provided directly to individuals, private firms, and other private institutions to encourage or support a particular activity. They may be tax credits, rent payments, scholarships, etc. Usually there is a condition for receiving this type of assistance. Often, the condition is based on a particular performance by the recipient.

Direct services
May include counseling, referrals or public safety assistance – must directly provide service to intended target.

Disallowed Costs
Charges to an award that the awarding agency determines to be unallowable, in accordance with the applicable federal cost principles or other terms and conditions contained in the award. Funds expended on disallowed costs cannot be reimbursed, if reimbursement has occurred, funds must be returned to the granting agency.

Discretionary Grant
A grant (or cooperative agreement) for which the federal awarding agency generally may select the recipient from among all eligible recipients, may decide to make or not make an award based on the programmatic, technical, or scientific content of an application, and can decide the amount of funding to be awarded. Funds are awarded on the basis of a competitive process. Agencies review applications in light of the legislative and regulatory requirements established for a program. The review process gives an agency discretion in determining which applications best address the program requirements and are therefore most worthy of funding.

Download
Transferring data (usually a file) from another computer to the computer you are using.

Earmark Grants
Earmark grants are grants that are appropriated by Congress prior to a peer review. The term "earmark" is a reference to the Congressional Record where the awards are written into the legislation specifically with the grant applicant's name, activity and dollar amounts.

eRA Commons
Web based system for applicants and institutions to participate in the electronic grant administration process for health programs.

E-Business Point of Contact (E-Biz POC)
An E-Business Point of Contact is responsible for the administration and management of grant activities in his/her organization. The E-Biz POC authorizes representatives of their organization (See: Authorized Organization Representative (AOR)) to submit grant applications through Grants.gov. An E-Biz POC must also register as an AOR to submit an application.

E-Gov
Office of E-Government & Information Technology (E-Gov) is a part of the Office of Management and Budget (OMB) electronic government initiative. Created in an effort to use technology to provide and improve government services, transactions and interactions with citizens, businesses, and other arms of government.

Entitlements
A government program that guarantees and provides benefits to a particular group.

Equipment
Tangible nonexpendable personal property, including exempt property, charged directly to the award and having a useful life of more than one year and an acquisition cost of $5,000 or more per unit. However, consistent with recipient policy, lower limits may be established.

Evaluator
An evaluator must be an independent and credentialed outsider to the grant. They must not have any other active role with the grant, except to evaluate performance during the post-award phase. The evaluator must have experience with instrument design, control groups and conducting statistical analysis. An evaluator must have the appropriate credentials. Appropriate credentials include a minimum of a Master's Degree in the subject matter area for the evaluation, and a minimum of five years providing evaluation in the subject matter, or statistical analysis. An evaluator must have subject matter expertise. An example of subject matter expertise is using the University of Nevada, Reno (UNR), or ~~and~~ the University of Nevada, Las Vegas (UNLV), as they both have subject matter expert teams; Nevada Cooperative Extension as an evaluator for Agriculture research projects; or Desert Research Institute.

Excess Property
Property under the control of an awarding agency that, as determined by the head of the awarding agency or his/her delegate, is no longer required for the agency's needs or the discharge of its responsibilities.

Exempt Property
Tangible personal property acquired in whole or in part with federal funds, where the awarding agency has statutory authority to vest title in the recipient without further obligation to the federal government. An example of exempt property authority is contained in the federal Grant and Cooperative Agreement Act, 31 U.S.C. 6306, for property acquired under an award to conduct basic or applied research by a nonprofit institution of higher education or nonprofit organization whose principal purpose is conducting scientific research.

Faith-Based Organization (FBO)
A FBO is an organization that provides human services, and affiliated with a religious or spiritual movement. These organizations are generally separated from a particular religious body itself (i.e. the church, synagogue, mosque, temple, etc.), but still can retain ties to that body. Although FBOs cannot use Federal funds for religious activities or restrict access to services based on the religion of recipients, services are often provided from their religious point of view.

FedBizOpps.gov
Single point-of-entry for commercial vendors and government buyers to post, search, monitor and retrieve opportunities solicited by the entire federal contracting community.

Federal Register
A daily compilation of promulgated federal regulations and legal notices, presidential proclamations and executive orders, federal agency documents having general applicability and legal effect, documents required to be published by act of Congress, and other federal agency documents of public interest.

Federal Share of Real Property, Equipment, or Supplies
The percentage of the properties or supplies acquisition costs and any improvement expenditures paid with federal funds. This will be the same percentage as the federal share of the total costs under the award for the funding period in which the property was acquired (excluding the value of third party in-kind contributions).

Indian Tribal Government
The governing body of any Indian Nation, band, tribe, or other organized group or community (including any Native village as defined in section 3 of the Alaska Native Claims Settlement Act certified by the Secretary of the Interior) as eligible for the special programs and services provided through the Bureau of Indian Affairs.

Federal Funding Opportunity (FFO)
An announcement used by federal agencies to announce an upcoming opportunity.

Fedgrants.gov
This website no longer exists. At one point it was used to search for grant opportunities.

Financial Assistance
The transfer of a thing of value from a federal agency to a recipient to carry out a public purpose of support or stimulation authorized by a law of the United States (see 31 U.S.C. 6101(3)). An agency may provide financial assistance through various types of transactions, including grants, cooperative agreements, loans, loan guarantees, interest subsidies, insurance, food commodities, direct appropriations, and transfers of property in place of money.

Formula grant
A grant that the department is directed by United States Congress to make to grantees, for which the amount is established by a formula based on certain criteria that are written into the legislation and program regulations, and that is awarded and administered directly by the department's program offices.

Funding offer
A proposal by a federal agency, either orally or in writing, to award a successful applicant a level of funding that is less than the applicant requested. This occurs when the department either (1) does not accept certain items of cost in the applicant's original budget or (2) does not have a sufficient level of program appropriations to fund all recommended projects at the requested level.

Funding Opportunity Announcement (FOA)
A publicly available document by which a federal agency makes known its intentions to accept applications to award formula, discretionary grants, or cooperative agreements. May also be referred to as program announcements, notices of funding availability, solicitations, or other names depending on the agency and type of program. Funding opportunity announcements can be found at Grants.gov/FIND and on the Internet at the funding agency's or program's website.

Funding Opportunity Number
The number that a federal agency assigns to its grant announcement.

Funding Period
The period of time when federal funding is available for obligation by the recipient.

Government
A State or local government or a federally recognized Indian tribal government.

Grace Period
A grace period may be created at the grantor agency's discretion to extend the application submission period. This period reflects the number of days after the closing date that Grants.gov will continue to accept applications for a grant opportunity, for example, an agency might include a grace period to accept revised applications. It also represents the day (Closing Date + Grace Period) that applicants will no longer be able to download the application package. This value is entered by an agency when creating a grant opportunity and is not visible to grant applicants.

Grant
An award of financial assistance, the principal purpose of which is to transfer a thing of value from a federal agency to a recipient to carry out a public purpose of support or stimulation authorized by a law of the United States (see 31 U.S.C. 6101(3)). A grant is distinguished from a contract, which is used to acquire property or services for the federal government's direct benefit or use.

Grant Agreement
A legal instrument of financial assistance between a Federal awarding agency or pass-through entity and a non-Federal entity that aims to carry out a public purpose and not to acquire goods or services, and does not provide for "substantial involvement" by the Federal awarding agency or pass-through entity.

Grantee
An individual or organization that has been awarded financial assistance under a grant or cooperative agreement program.

Grantor
The individual or organization this is providing the funding. The Grantor cannot be limited in its rights by the Grantee, as Grantor rules and regulations shall supersede Grantee rules and regulations. The State’s ability to evaluate the grant includes full access to any fiscal or any other document and/or record pertinent to the program and the right to interview staff, clients, agency personnel or board members in accordance with the procedures of confidentiality and any pertinent State or Federal regulations.

Grants.gov
A storefront web portal for use in electronic collection of data (forms and reports) for federal grant-making agencies through the Grants.gov site.

Grants.gov Tracking Number
A number set used by Grants.gov which is used to identify each application it receives.

Grant Review Methods
There are three primary types of grant review methods. The on-site review panel meets together at a central location, has about 3-4 members, and lasts about 5 days, and all voting members read and score the same applications. Panelists are often required to discuss their scores and reach some kind of consensus. This is called on-site because all work is done at a single location. The field review panel involves 10-12 panelists and meets for 2-3 days. Panelists receive the applications they are supposed to score in advance and should plan to do their work before coming to the central location meetings. A tele-review session involves panelists who read and score the applications on their own and then share their thoughts and scores via teleconference.

Indirect Costs
Costs of an organization incurred for common or joint objectives, which cannot be identified readily and specific to a particular grant project or other institutional activity.

Indirect Cost Rate
A percentage established by a federal department or agency for a grantee organization, which the grantee uses in computing the dollar amount it charges to the grant to reimburse itself for indirect costs incurred in doing the work of the grant project.

Insurance
Financial assistance that is provided to assure reimbursement for losses sustained under specific conditions. For example, flood insurance.

Intangible Property and Debt Instruments
Includes trademarks, copyrights, patents, patent applications, and such property as loans, notes and other debt instruments, lease agreements, stock and other instruments of property ownership, whether considered tangible or intangible.

Inter-Agency Electronic Grants Committee (IAEGC)
An organization which encourages and assists federal agencies in developing electronic grants systems and standardizing electronic commerce methodologies throughout the federal government. The IAEGC is chartered to Grants.Gov Program Management Office.

Local Government
A local unit of government, including specifically a county, municipality, city, town, township, local public authority, school district, special district, intra-state district, council of governments (whether or not incorporated as a nonprofit corporation under State law), any other regional or interstate entity, or any agency or instrumentality of local government.

Login
The act of connecting to a computer system by giving your credentials (usually your "username" and "password").

Mandatory Forms
The forms required for an application. Please note that a mandatory form must be completed before the system will allow the applicant to submit the application package.

Mandatory Grant
A grant (or cooperative agreement) awarded under a program where the authorizing statute requires the head of the agency or designee to make an award to each eligible entity under the conditions and in the amount (or based on the formula) specified in the statute.

Marketing Partner ID (MPIN)
A personal code that allows you to access other government applications such as the Past Performance Automated System, DoDBusOpps and TeDS. The MPIN may act as your password in these other systems. You make up the code and register it in SAM. The MPIN must have 9 digits containing at least one alpha character (must be in capital letters) and one number (no spaces or special characters permitted).

NAIC
A code that was used to classify business establishments.

Nevada Administrative Code (NAC) – The codified administrative regulations of the executive branch of Nevada government.

Nevada Revised Statute (NRS) – State Law – the current codified laws of the State of Nevada. Grants must follow the Budget Section NRS 353, in addition to any specific requirements by each Agency.

North American Industry Classification System (NAICS) Code
A code with a maximum of six digits used to classify business establishments. This code will be replacing the Standard Industrial Classification (SIC) code.

Notice of Funding Availability (NOFA)
This is synonymous with "RFP" and means a document issued by a funder to solicit proposals.

Notice of Grant Award (NOGA)
When a state agency receives a grant award from the federal awarding agency it will receive an official notice of grant award (NOGA). The state agency notifies agency budget officials of the actual award amount. The NOGA should be sent per the administrative directions to budget, Legislative Council Bureau (LCB) and the Grant office.

Office of Management and Budget (OMB)
This is the federal agency that determines financial policy and guidelines for grant awards. A federal agency must request a waiver from OMB to exempt their programs from specific policy set by OMB.

Obligations
The amounts of orders placed, contracts and grants awarded, services received and similar transactions during a given period that require payment by the recipient during the same or a future period. Binding agreements that will result in outlays (government spending), either immediately or in the future.

OMB Circulars
Administrative policy documents issued by the Office of Management and Budget (OMB) that give instruction to federal agencies on a variety of topics, including the administration of federal grants and cooperative agreements.

Opportunity Category
A field located on the Grant Opportunity Properties screen within Grants.gov. The Opportunity Category field values include Discretionary, Mandatory, Earmark, and Continuation. The Opportunity Category field was added to the site to assist Grants.gov with aggregating opportunities and application packages for public and private displays on the site. For example, there are links which show grant opportunities and packages recently posted to the site. Those opportunities and packages with a category type of Earmarked or Continuation will not show up on these public listings.

Optional Forms
Optional forms are the forms that can be used to provide additional support for an application, but are not required to complete the application package.

Organization
A grant applicant who is submitting a grant on behalf of a company, state, local or tribal government, academic or research institution, not-for-profit, or any other type of institution.

Outlays or Expenditures
Charges made to the project or program, which may be reported on a cash or accrual basis.

Oversight Agency
For audit means the Federal awarding agency that provides the predominant amount of funding directly to a non-Federal entity not assigned a cognizant agency for audit.

Panel Summary Reports
Reports that describe the strengths, weaknesses, and final scores for each application.

Password
A code used to gain access to Grants.gov along with a username. Good passwords contain letters and numbers (i.e., Virtue7) and must not be found in any dictionary.

Performance Period
See Project Period.

Personal Property
Property of any kind (excluding real property). It may be tangible, having physical existence, or intangible, having no physical existence, such as copyrights, patents, or securities.

Point of Contact (POC)
An individual who is designated as the person responsible for authorization and maintenance of information on behalf of a SAM registrant, coordinating communication among organizations.

Prefixed Filename
Attachment filenames may appear verbose because many are prefixed to include the form name, field name, unique number and attachment name (attachment name which was entered by the applicant) as one entire filename. Not all attachments are prefixed exactly the same, but you will be able to recognize the filename entered by the applicant by reading through the entire line of the filename text.

Prior Approval
Written approval by an authorized awarding agency official evidencing prior consent.

Profile
Applicant information stored in the Grants.gov system for the purpose of identifying a user.

Program Income
“Gross income earned by the non-Federal entity that is directly generated by a supported activity or earned as a result of the Federal award during the period of performance."

Project Costs
All allowable costs, as set forth in the applicable federal cost principles (Example: 45 CFR 74.27), incurred by a recipient and the value of the contributions made by third parties in accomplishing the objectives of the award during the project period.

Project Period
The period established in the award document during which awarding agency sponsorship begins and ends. The total amount of time (sometimes several years) during which the department authorizes a grantee to complete the approved

work of the project described in the application. Project periods of more than one year are divided into budget periods. Sometimes referred to as "performance period."

Project grant
Awarded through a competitive process (also known as discretionary funds) and provide funding for fixed or known periods of time. The funding is for specific projects or the delivery of specific services or products. For example, fellowships, research grants, technical assistance grants, experimental and demonstration grants, and planning grants, etc.

Program Office
Conducts the daily work of administering the grant or cooperative agreement program, including the review and ranking of applications.

Program Regulations
Regulations that implement legislation passed by Congress to authorize a specific grant program. They include applicant and participant eligibility criteria, nature of activities funded, allowability of certain costs, selection criteria under which applications will be selected for funding, and other relevant information. Program regulations are rules that apply to all applicants and/or grantees under a particular program. They implement legislation passed by Congress to authorize a specific program and include applicant and participant eligibility criteria, nature of activities funded, allowable costs, criteria under which applications will be selected for funding, and other relevant information.

Property
Real property, equipment, intangible property and debt instruments.

Real Property
Land, including land improvements, structures and appurtenances thereto, but excludes movable machinery and equipment.

Recipient
An organization receiving financial assistance directly from an awarding agency to carry out a project or program.

Regulations
There are two types of regulations to award and administer grants and cooperative agreements: program and administrative.

Request for Funding Assistance (RFA)
This is synonymous with “RFP” and means a document issued by a funder to solicit proposals.

Request for Proposal (RFP)
This is the basic acronym that is used indiscriminately to describe documents that offer guidelines for grant funding. Other terms are also used, depending on the agency issuing the grant: for example, program announcement (PA) or guidance for applicants (GFA). They are published in the Federal Register (the official announcement site) and at the various agency Web sites. They describe each program that is being funded and include what groups are eligible to apply (e.g., nonprofits and states); the background for the program; what each applicant is required to include in its application; how much money the applicant plans to award and to how many groups; the dollar amount in terms of the range of the awards; and more.

Request for Qualification (RFQ)
Refers to the pre-**qualification** stage of the procurement process. Only those proponents who successfully respond to the **RFQ** and meet the **qualification** criteria will be included in the subsequent **Request** for Proposals (RFP) solicitation process.

Research and Development (R&D)
All research activities, both basic and applied, and all development activities that are supported at universities, colleges, hospitals, other nonprofit institutions, and commercial organizations. Research is defined as a systematic study directed toward fuller scientific knowledge or understanding of the subject studied. Development is the systematic use of

knowledge and understanding gained from research directed toward the production of useful materials, devices, systems, or methods, including design and development of prototypes and processes. The term research also includes activities involving training of individuals in research techniques where such activities utilize the same facilities as other research and development activities and where such activities are not included in the instruction function.

Researcher
A researchers is someone who conducts research, i.e., and organized and systematic investigation into something. Scientists are often described as researcher. A Grant Researcher can write, prepare, or advise on grant applications. A Researcher **CANNOT** be compensated through travel, stipend or other **AND** be written into a grant, per CFR, Title 2,Part 200.

Role Manager
The person listed as the Point of Contact for a specific grantor agency or sub-agency. This person will receive any email notifications about application submissions, depending on the option selected in the agency's profile.

SAM.gov
See System for Award Management.

Solicitation for Grant Applications (SGA)
Like a Request for Proposals (RFP), an SGA is a document issued by a funder to solicit proposals.

(SF-424) Standard Form 424 Forms Family
Standard Form 424: This is the basic cover form for most federal grant applications. Even though it is supposed to be a "Standard Form," different agencies, such as Department of Education, use variants of the SF-424. Also, SF-424s included in grants.gov application files are different than the paper versions. So, SF-424s are not "standard". (See Appendix A for example).

Application for Federal Assistance (SF-424)
Application for Federal Domestic Assistance - Individual
Application for Federal Domestic Assistance - Mandatory
Application for Federal Domestic Assistance - Short Organizational
Application for Federal Domestic Assistance - Research and Related
Budget Information for Non-Construction Programs (SF-424A)
Assurances for Non-Construction Programs (SF-424B)
Budget Information for Construction Programs (SF-424C)
Assurances for Construction Programs (SF-424D)
Research & Related forms (various)
Key Contacts
Attachments Form
Budget Narrative Attachment Form
Grants.gov Lobbying Form
SF-LLL Disclosure of Lobbying Activities
Project Abstract
Project Narrative Attachment Form
Project/Performance Site Location(s)

State Administrative Manual (SAM) – Policy statements regarding the internal operations of state government based on statute of regulations.

State Education Agency (SEA)
State-level government organization over the education agency.

Sub-award
Financial assistance awards in the form of money, or property in lieu of money, made under an award by a recipient to an eligible sub-recipient or by a sub-recipient to a lower tier sub-recipient. The term includes financial assistance when provided by any legal agreement, even if the agreement is called a contract, but does not include procurement of goods and services nor does it include any form of assistance which is excluded from the definition of award.

Sub-recipient
The legal entity to which a sub-award is made and which is accountable to the recipient for the use of the funds provided.

Supplies
All personal property excluding equipment, intangible property, and debt instruments as defined in this section, and inventions of a contractor conceived or first actually reduced to practice in the performance of work under a funding agreement.

Suspension
A post-award action by the awarding agency that temporarily withdraws the agency's financial assistance sponsorship under an award, pending corrective action by the recipient or pending a decision to terminate the award.

Synopsis of Funding Opportunity
Summary information extracted from or based on the funding opportunity announcement that is electronically posted at the government-wide website known as Grants.gov/Find. The posting at Grants.gov/FIND includes a direct link to the funding opportunity announcement or includes an uploaded copy of the funding opportunity announcement.

System Requirements
Computer functionality and programming which is required in order for a specific program to operate.

Technical Assistance (TA)
Staff providing advice and assistance to Agencies, local governments, individuals and/or other organizations in completing specific tasks such as preparing plans, developing projects, etc. Agency staff also may provide assistance for the publication and distribution of information or data of a specialized technical nature.

Termination
The cancellation of awarding agency sponsorship, in whole or in part, under an agreement at any time prior to the date of completion.

Third Party In-Kind Contributions
The value of non-cash contributions provided by **non-federal** third parties. Third party in-kind contributions may be in the form of real property, equipment, supplies and other expendable property, and the value of goods and services directly benefiting and specifically identifiable to the project or program.

Trading Partner Identification Number (TPIN)
An identification number. The restricted access number assigned by SAM to the main SAM Point of Contact who manages information for the SAM registrant.

Transparency Act
The Transparency Act was enacted by Congress that requires the full disclosure to the public of all entities or organizations receiving federal funds. The Digital Accountability and Transparency Act of 2014 (DATA Act) is a law that aims to make information on federal expenditures more accessible and transparent.

Uniform Application Form (SF-424)
Also known as the Application for Federal Assistance, this is a standard form that accompanies all federal grant applications and that applicants are required to fill out with basic information (such as name of organization, address, contact person, and total budget request). It is two pages long.

Unobligated Balance
The portion of the funds authorized by an awarding agency that has not been obligated by the recipient and is determined by deducting the cumulative obligations from the cumulative funds authorized.

USA.gov
The official web portal of the United States Government created to improve U.S. Government interactions with the public by offering links to every federal agency to help website visitors quickly find information to the services they seek. USA.gov features links to every federal, state, local, and tribal government agency.

USAspending.gov
The public system used to view grant awards to specific States, organizations, and agencies,

User Guide
A well-indexed, comprehensive guide to reference information about Grants.gov.

Username
The ID (plus password) which allows access into the Grants.gov system and application package submission.

FREQUENTLY USED ACRONYMS

BLM: Bureau of Land Management administers more than 247 million acres of public lands.

CDC: Centers for Disease Control is the federal agency that conducts and supports health promotion, prevention and preparedness activities in the United States with the goal of improving overall public health.

CMS: Centers of Medicaid and Medicare: works with states to administer health care programs for seniors and disadvantaged.

DEA: Drug Enforcement Administration works to combat drug smuggling and use in the United States.

DHHS: Department of Health and Human Services: The federal department charged with activities related to its name, or the "principal agency for protecting the health of all Americans and providing essential human services, especially for those who are least able to help themselves."

DHS: Department of Homeland Security works to protect the United States

DOC: Department of Commerce: The federal department charged overseeing commercial activity.

DOD: Department of Defense is responsible for providing the military forces needed to deter war and protect the security of our country

DOE: Department of Energy: The federal department charged with overseeing issues relating to energy production, consumption, and research. This shouldn't be confused with the Department of Education, which is usually written as Dept. of Education or by its full name, unless otherwise noted.

DOI: Department of Interior: works to sustain America's lands, water, wildlife, and energy resources, honors our nation's responsibilities to tribal nations, and advocates for America's island communities.

DOJ: Department of Justice: the federal agency responsible to enforce the law and defend the interests of the United States.

DOL: Department of Labor: The government agency that "is charged with preparing the American workforce for new and better jobs." Its authority sometimes overlaps with the DOC's.

ED: Dept. of Education: The federal department charged with overseeing education. (Note that it is seldom referred to as the "DOE" because that acronym was usurped by the Department of Energy, as shown below.)

EDA: Economic Development Administration: The federal department charged with increasing jobs, providing skills training, and the like, by funding economic development activities, including infrastructure.

EPA: Environmental Protection Agency is an agency of the U.S. federal government which was created for the purpose of protecting human health and the environment by writing and enforcing regulations based on laws passed by Congress.

EEOC: Equal Employment Opportunity Commission investigates complaints of job discrimination based on race, color, religion, sex (including pregnancy), national origin, disability, age (40 or older), or genetic information. If we believe an employer is violating our laws, we take action to stop the discrimination.

FEMA: The Federal Emergency Management Agency: Now a sub-organization of the Dept. of Homeland Security, FEMA is "tasked with Disaster Mitigation, Preparedness, Response and Recovery planning." In reality, its tentacles extend far beyond that mission.

FHA: Federal Housing Administration: A sub-organization of HUD, the FHA "provides mortgage insurance on loans made by FHA-approved lenders throughout the United States and its territories." In effect, it often subsidizes housing purchases and building.

HRSA: Health Resources and Services Administration is the primary federal agency for improving access to health care services for people who are uninsured, isolated or medically vulnerable.

HUD: The Department of Housing and Urban Development: The federal department charged with overseeing issues related to housing, including Section 8 vouchers, public housing, FHA financing, and the like.

IHE: Institute of Higher Education: A post-secondary school responsible for education after grade 12. This could be a technical institute, two-year community college, four-year college, or a university.

LEA: Local Education Agency: This is usually a long way of saying "school district," or the city/county agency charged with overseeing K – 12 education. Sometimes individual public charter schools can function as independent LEAs, depending on the law in their particular state.

NSF: National Science Foundation: The federal department charged with improving and researching science and technology.

OJJDP: Office of Juvenile Justice and Delinquency Prevention: The Department of Justice office responsible for distributing federal formula grants to the states for various juvenile justice programs. OJJDP also administers a number of direct competitive grant programs and periodically issues RFPs for them.

OMB: Office of Management and Budget works for the President of the United States that evaluates the effectiveness of programs, policies and procedures and introduces legislation for grant and cooperative agreement programs.

PWEDA: Public Works and Economic Development Act: This 1965 act authorizes many EDA activities and sets guidelines for how EDA's money is supposed to be spent.

RAT Board: Recovery Accountability and Transparency Board: The organization charged with investigating fraud and abuse at federal agencies. See more here.

SAMHSA: Substance Abuse and Mental Health Services Administration: A large sub-organization of DHHS responsible for conducting the kinds of programs its name implies it would conduct.

USDA: United States Department of Agriculture is a cabinet-level agency that oversee the farming industry, inspecting food, to ensuring safety of the public.

FREQUENTLY ASKED QUESTIONS

What are grants and cooperative agreements?
Grants and cooperative agreements are forms of financial assistance to organizations to support a public purpose. The amounts and duration of financial assistance will vary. A grant requires the completion of program activities by the funded organization only. Grants and cooperative agreements are contracts and should be treated as such.

Who determines what is funded by a Request for Funding Announcement or when it will be re-announced in the future?
This is a programmatic determination, depending on what focus areas have priority and where resources are needed most, by each funding agency as well as what funds are allocated by Congressional actions.

Who is eligible to apply for federal grants?
Most federal agencies do not make primary awards to individuals. The funding opportunity solicits competition among those organizations that have the capability to meet the program goals. Most federal awards are for universities, states and local governments, professional organizations, tribal organizations, community and faith-based organizations (non-profits). Each announcement will specify who is eligible.

Have you received my application submission?
If you apply electronically through Grants.gov, you will receive confirmation immediately on receipt of your submission.

What are the odds of our program being funded? Does our program sound good? Is my organization eligible to apply for this grant? The Funding Opportunity Announcement (FOA) answers these questions, so applicants can this document as their checklist for applying. If your application/grant proposal meets the criteria outlined and your organization can answer to all eligibility requirements, your submission should be reviewed fairly and competitively.

What is a Land Grant Institution?
In Nevada, the University of Nevada, Reno is the land-grant institution.

Who can I use as an evaluator?
An evaluator must be an independent and credentialed outsider to the grant. They must not have any other active role with the grant, except to evaluate performance during the post-award phase. The evaluator must have experience with instrument design, control groups and conducting statistical analysis. An evaluator must have the appropriate credentials. Appropriate credentials include a minimum of a Master's Degree in the subject matter area for the evaluation, and a minimum of five years providing evaluation in the subject matter, or statistical analysis. An evaluator must have subject matter expertise. An example of subject matter expertise is using the University of Nevada, Reno (UNR), or the University of Nevada, Las Vegas (UNLV), as they both have subject matter expert teams. Nevada Cooperative Extension as an evaluator for Agriculture research projects; or the Desert Research Institute.

We need additional support for a grant application. Can we go out to RFP or use one of our existing contractors?
No. The State of Nevada has a Master Service Agreement (MSA), with a list of appropriately qualified grant experts. This list is updated biannually. The agency must first contact the grant office to determine if there is capacity at the state level for assistance with grants. If there is not capacity or it requires additional support, you may utilize the MSA, which only requires a Purchase Order to engage and does not require a RFP Process. State agencies are not permitted to go outside of the MSA process. In addition, federal regulations mandate that any individual or firm that is contracted for grant work, cannot also be included in that contract for future work.

Can an agency apply for any grant they want to?
No. Grants must ensure grant is part of the Governor's state strategic priorities or goals for the State of Nevada. All agencies are required to contact the State Grant Office to provide 1) notice of intent to apply for a grant; 2) provide a copy of the grant notice; 3) provide a copy of the NOGA or letter of non-award; 4) and be able to allocate the grant awards based on county. For more information as to if a grant is appropriate or not, you may contact your Agency or the Grant Office.

PRE-AWARD

1.0 SINGLE POINT OF CONTACT (SPOC)

To foster intergovernmental partnerships and strengthen federalism by relying on state and local processes for the coordination and review of proposed federal financial assistance and development, Federal Executive Order (EO) 12372, "Intergovernmental Review of Federal Programs," was issued. The Office of Grant Procurement, Coordination and Management, (also referred to as the Grant Office), is the designated the single point of contact (SPOC) for Nevada state agencies submitting or receiving federal grants and for all statewide grant-related SPOC inquiries. ***Nevada state agencies complying with NRS 232.225 are required to submit each Standard Form 424 with complete narrative and budget to the Office of Grant Management via email: grants@admin.nv.gov.***

The SPOC works to eliminate duplicate efforts by public agencies for competitive grants where they may be cross-agency supports or that may only allow one state agency to submit. The State can also work with other public entities in situations where they may be more competitive to provide a state bona-fide representative letter. Letters of support or designations for federal grants from the Governor's Office, designations of bona-fide state agencies, and coordination for grants is handled through the Grant Office.

2.0 UNDERSTANDING AND LOCATING PROGRAM GRANTS

2.1 STATE GRANT OFFICE LISTSERV

The Grant Office provides notices of upcoming grant and funding opportunities through the Grant Office LISTSERV. To register for LISTSERV grant notices, log onto the Nevada State Grant Office website: http://Grants.NV.gov, and click on "Join our list now." In the body of the email, registrants will be requested to specify a subject-area of interest. On the grant website under "grant resources" is also a list of commonly reference subject-matter sites to search for grant opportunities. In addition, the Grant Website grant.nv.gov has a list of links to regularly posted grant sites by agency.

2.2 DEFINING GRANTS

Nevada policy makers, fiscal and program staff need to distinguish between the different types of funding opportunities. This is critical to evaluate which areas the state can be competitive, improve, and comply.

Entitlement grants or *formula grants* are based on distributions defined to target specific populations. The grant recipient is provided funds based on a formula, prescribed legislation or regulation, rather than on the basis of an individual project. The formula may be based on population, enrollment, per capita and/or specific need. Grant recipients do not typically compete for entitlement funds. In the largest category of grant spending nationally (United States Health and Human Services formula/entitlement grants), the federal government has significant restrictions on the populations that can receive direct funding assistance. *Formula*

grants have the least opportunity for improvement with many of the existing national formulas dating back and in use today from the 1970's, 1980's and 1990's.

There have been some notable changes, with the inclusion of competitive elements or separately identified competitive funds embedded in majority-focused formula funded grants. Recent grant announcements for formula grant programs have included discretionary components to enhance or develop a pilot program related to the original program. Grant application requirements, under the discretionary component, includes metrics and specifics to what population would be served. Each funding stream is distinctly different and states eligible for the formula grant may not be eligible for the discretionary portion. Another type of formula grant is a *categorical grant*, also known as *block grant*, which provides recipients more latitude on how funds are used, and are awarded on a formula basis specified in the Code of Federal Regulations (CFR).[1]

Discretionary grants are focused on the federal agenda rather than what would be the best program for any particular state. Many times, the federal grantor in charge of a discretionary program has a specific population in mind for the grant. In some instances, to be eligible for discretionary grant dollars, states must have participated in previous programs or have received a similar grant. While identified through the federal funding grant opportunity system as discretionary, additional research is conducted by the state grant office and the agency to determine whether Nevada entities are eligible to apply and it is a competitive grant. Discretionary grants are also the best opportunity for Nevada to improve grant performance at each agency level.

The Grant Office works with agencies to review each grant to determine the level of competitiveness, resources and opportunity for development. These can be awarded by populations, pilot programs, geographic designations, or any variety of methods. They also offer states the opportunity to expand or improve program elements.

3.0 Developing the Grant Idea & Program

Each State applicant should review the eligibility requirements for each Federal program under consideration. While the Notice of Funding Announcement (NOFA) will include an eligibility section, detailed information can also be found in the Code of Federal Domestic Assistance (CFDA). The CFDA provides a full listing of all federal programs available to State and local governments and contains 2,285 program descriptions. By reviewing the information in full, applicants can develop a full service of the services mandated by the grant.

A review of the Objectives and Uses and Use Restrictions sections of the Catalog program description can point out which programs are appropriate. It is important to also review the related programs as potential resources. Both the applicant and the grantor agency should have the same interests,

[1] **http://www.whitehouse.gov/sites/default/files/omb/budget/fy2013/assets/topics.pdf**

intentions, and needs, if a proposal is to be considered an acceptable candidate for funding. It is also important for agencies to review the budget cycle and amount. All federal agencies are required to report the approved funding allocation for a project. Applicants should review the federal budget for the current and budget fiscal years to determine proposed dollar amounts for particular budget functions. Just because a grant notice indicates the availability of funds as an "up to amount" – that should not be interpreted as the amount an agency will be awarded or that a particular state agency should request. The budget should be appropriate for the population that is being targeted recognizing that Nevada is competing against all states (and major metropolitan areas) in the nation.

In developing the proposal and timeline, it is important to note that submittal deadlines for submitting applications are not negotiable. They are usually associated with strict timetables for agency review. Some programs have more than one application deadline during the fiscal year. Applicants should plan proposal development around the established deadlines. It is also highly recommended that grants be submitted a minimum of three (3) days prior to the due date. It can take up to 72-hours for the grant application to be accepted. If there are problems with the application, you will be notified within that timeframe with the opportunity to correct. If you submit on the last day, agencies will not be provided the opportunity to correct.

3.1 PREPARATION & PLANNING FOR THE GRANT PROPOSAL

A successful grant proposal is one that is well-prepared, thoughtfully planned, and concisely packaged. The potential applicant should become familiar with the pertinent program criteria related to the Catalog program from which assistance is sought. Refer to the information contact person listed in the Catalog program description before developing a proposal to obtain information such as whether funding is available, when applicable deadlines occur, and the process used by the grantor agency for accepting applications. Applicants should remember that the basic requirements, application forms, information and procedures vary with the Federal agency making the grant award.

When developing an idea for a proposal it is important to determine if the idea has been considered in the applicant's locality or State. The State Grant Office can support the agency by reviewing with legislators, area government agencies and related public and private agencies which may currently have grant awards or contracts to do similar work. If a similar program already exists, the applicant may need to reconsider submitting the proposed project, particularly if duplication of effort is perceived. If significant differences or improvements in the proposed project's goals can be clearly established, it may be worthwhile to pursue Federal assistance.

There are six basic components to creating a solid proposal package: (1) the proposal summary; (2) introduction of organization; (3) the problem statement (or needs assessment); (4) project objectives; (5) project methods or design; and (6) project evaluation. State agencies are encouraged to reach out to the Grant office for support in any or all of the above categories for the most competitive applications and review.

(1) The Proposal Summary: Outline of Project Goals

The proposal summary outlines the proposed project and should appear at the beginning of the proposal. It could be in the form of a cover letter or a separate page, but should definitely be brief -- no longer than two or three paragraphs. The summary would be most useful if it were prepared after the proposal has been developed in order to encompass all the key summary points necessary to communicate the objectives of the project. It is this document that becomes the cornerstone of your proposal, and the initial impression it gives will be critical to the success of your venture. In many cases, the summary will be the first part of the proposal package seen by agency officials and very possibly could be the only part of the package that is carefully reviewed before the decision is made to consider the project any further.

(2) Introduction: Presenting a Credible Applicant or Organization

The applicant should gather data about its organization from all available sources. Most proposals require a description of an applicant's organization to describe its past and present operations.

Some features to consider are:

- A brief description of key staff members.
- The agency's strategic goals and programs.
- The data should be relevant to the goals of the Federal grantor agency and should establish the applicant's credibility.

(3) Problem Statement (Project Need or Need Assessment)

The sole purpose of the funding announcement is for the agency to propose a strategy or project that will provide some level of service or program to reduce a problem or preventative. The Problem Statement is the most difficult section to develop, but is the key to the grant proposal. This is also the area of the project that should be highlighted with related statistical data based on the target area.

(4) Project Objectives: Goals and Desired Outcome

Program objectives refer to specific activities in a proposal. It is necessary to identify all objectives related to the goals to be reached, and the methods to be employed to achieve the stated objectives. The grant must include quantities or things measurable and refer to a problem statement and the outcome of proposed activities when developing a well-stated objective. The figures used should be verifiable. Remember, if the proposal is funded, the stated objectives will probably be used to evaluate program progress, so be realistic. In the project measures, identifying that you will be collecting data is not a function. The key to a successful grant is what is going to be done with the data for the grant. If those things deemed difficult to measure, i.e. community outreach, have specific criteria to make it competitive. Questions to

consider – what is baseline, and what percentage of individual health factors would you expect to improve with the grant?

(5) <u>Program Methods and Program Design: A Plan of Action</u>

The program design refers to how the project is expected to work and solve the stated problem. The best way to do the plan of action is often through a Logic Model. Sketch out the following:

- It is recommended that all projects include a logic model. This should be done early in the process so there is a clear understanding of the project being developed and communication between the team is cohesive.
- The activities to occur along with the related resources and staff needed to operate the project (inputs).
- Flow chart of the organizational features of the project. Describe how the parts interrelate, where personnel will be needed, and what they are expected to do. Identify the kinds of facilities, transportation, and support services required (throughputs).
- Explain what will be achieved through 1 and 2 above (outputs); i.e., plan for measurable results. Project staff may be required to produce evidence of program performance through an examination of stated objectives during either a site visit by the Federal grantor agency and or grant reviews which may involve peer review committees.
- Wherever possible, justify in the narrative the course of action taken. The most economical method should be used that does not compromise or sacrifice project quality.
- The financial expenses associated with performance of the project will later become points of negotiation with the Federal program staff. If everything is not carefully justified in writing in the proposal, after negotiation with the Federal grantor agencies, the approved project may resemble less of the original concept. Carefully consider the pressures of the proposed implementation, that is, the time and money needed to acquire each part of the plan. A Program Evaluation and Review Technique (PERT) chart could be useful and supportive in justifying some proposals.
- The remaining alternatives available when funding has been exhausted. Explain what will happen to the project and the impending implications.
- Highlight the innovative features of the proposal which could be considered distinct from other proposals under consideration.
- Whenever possible, use appendices to provide details, supplementary data, references, and information requiring in-depth analysis. These types of data, although supportive of the proposal, if included in the body of the design, could detract from its readability. Appendices provide the proposal reader with immediate access to details if and when clarification of an idea, sequence or conclusion is required. Time tables, work plans, schedules, activities, methodologies, legal papers, personal vitae, letters of support, and endorsements are examples of appendices. Not all reviewers will go to the Appendices so be sure to explain in enough detail, that they know the information is there. Just

remember that appendices are not part of the evaluation, unless the evaluator has questioned on what you submitted. Example of logic model(s) Appendix B.

(6) <u>Evaluation: Product and Process Analysis</u>

The evaluation component is two-fold: (1) product evaluation; and (2) process evaluation. Product evaluation addresses results that can be attributed to the project, as well as the extent to which the project has satisfied its desired objectives. Process evaluation addresses how the project was conducted, in terms of consistency with the stated plan of action and the effectiveness of the various activities within the plan.

Most Federal agencies now require some form of program evaluation among grantees. The requirements of the proposed project should be explored carefully. Evaluations may be conducted by an internal staff member (when appropriate), or a qualified evaluator, as defined in the evaluation firm or both. An evaluator must be an independent and credentialed outsider to the grant. They must not have any other active role with the grant, except to evaluate performance during the post-award phase. The evaluator must have experience with instrument design, control groups and conducting statistical analysis. An evaluator must have the appropriate credentials. Appropriate credentials include a minimum of a Master's Degree in the subject matter area for the evaluation, and a minimum of five years providing evaluation in the subject matter, or statistical analysis. An evaluator must have subject matter expertise. An example of subject matter expertise is using the University of Nevada, Reno (UNR), or the University of Nevada, Las Vegas (UNLV), as they both have subject matter expert teams; Nevada Cooperative Extension as an evaluator for Agriculture research projects; or Desert Research Institute.

The applicant should state the amount of time needed to evaluate, how the feedback will be distributed among the proposed staff, and a schedule for review and comment for this type of communication. Evaluation designs may start at the beginning, middle or end of a project, but the applicant should specify a start-up time. It is practical to submit an evaluation design at the start of a project for two reasons:

- Convincing evaluations require the collection of appropriate data before and during program operations; and,
- If the evaluation design cannot be prepared at the outset then a critical review of the program design may be advisable.

3.2 WRITING & REVIEWING

The Program Manager ensures the appropriate information is in the grant and in developing tangible performance measures. The agency or the Grant Office is able to help with the writing or narrative. It is also important to have someone less familiar with the specifics of the grant review your application for grammar, consistency, the technical aspects, and required information. There is always an outside reviewer on grant projects. This person should be

familiar with the NOFA and raise questions about content that might be missing or may not be clear. The Grant Office is available to assist all elements of the Grant process or questions along the way.

In support of grant application, the following is a helpful hints guide on word usage.

Helpful Hints, words to avoid in a grant proposal	
Crutch words – used when writers don't understand what to say	
We understand…	Never use the word "understand" in a proposal, other than in a section heading. To say "we understand your requirements" obfuscates any understanding and is, by definition, an unsubstantiated claim. On the other hand, if you say something insightful about how you will fulfill the requirements, the reader will see that the requestor understands the requirements. Understanding should be demonstrated, not claimed.
Leverage our experience	Leverage" is a word that some writers use when they know there is an advantage to be gained, but they don't know how to do it. Explain "how" rather than infer. Do not use "leverage" in proposals unless you are talking about a mechanical lever and fulcrum.

Do not exaggerate or overstate facts, causing loss of credibility	
State-of-the-art	This is overused and is probably not credible
The right choice	Prove it.
Uniquely qualified, unique,	Prove it.
Premier, world-class	Can't be proven. Using it is wasting the evaluators' attention.
Industry best practices	Overused, unless recognized as such by an independent 3rd party
Leading company, leading edge, leading provider	Overused and not believable. Don't damage your credibility by using it.

Do not exaggerate or overstate facts, causing loss of credibility	
We are committed	Customers don't want your commitment, they want results.
We are quality focused	This is another way of stating your intentions. Instead of focusing on quality, deliver it.
We value	Instead of valuing it, deliver it.
Dedicated to	Your dedication is not relevant to whether you have delivered or not
Top-quality	Is there any other kind?
Comprehensive	As opposed to?
Trustworthy	As opposed to untrustworthy?

Weak words – these weaken the bidder's argument and cause doubt in the minds of evaluators	
We believe, think, or feel	Who cares? Take whatever you were about to say, turn it into a positive action, and state the benefits to the customer.
We will strive, try, or attempt	Customers don't want you to try, they want you to deliver.
We are pleased to submit	Of course you are! Does that phrase do anything other than waste the evaluators' time and attention?

We are committed	Customers don't want your commitment, they want results.
We can provide	Either you provide it, or you don't.
We intend to	Either you do it, or you don't. Who cares what your intentions are.
We are devoted to	This is just another way of saying you intend to
We hope	That's like saying you intend to, but you're not sure you'll be able to.
Phrases with hidden verbs – replace with action verbs	
Arrived at the conclusion Came to an agreement	Concluded Agreed
Has a requirement for	Requires
Has a need for	Needs
Held a meeting	Met
Performed an analysis of	Analyzed
Redundant Words – simplify to write concisely	
6-month period	6 months
a number of	several
able to	can
able to	so
along the lines of	like, similar to
any and all	all, any, every (or leave out)
capable of	can
consensus of opinion	consensus
consequently	so
discontinue	stop
end result	result
estimated roughly at	estimated at
exact same	same
filled to capacity	filled
for backup purposes	for backup
for the purpose of	for, to
functioned as	was
furthermore	then
give an affirmative answer to	say yes to, agree to
good advantage	advantage
if and when	if
in accordance with	by
in addition	also
in an effort to	to
in as much as	since, because
in order to	to
in the case of	if
in the event that	if
in the nature of	like
in this day and age	today
issue a reminder	remind
join together	join

on a monthly basis	monthly
on the basis of	by
on the grounds that	because, since
past experience	experience
past history	history
plan ahead	plan
prior to	before
responsible for managing	managed, manages
utilize	use
with reference to	about (or leave out)
with regard to	about (or leave out)

Do not exaggerate or overstate facts, causing loss of credibility	
Long word	Replacement
ascertain	learn
encompass	include
fabricate	make
fluctuate	vary
illustrate	show
indispensable	vital
initiate	start
modification	change
recapitulate	review
reproduction	copy
subsequent	after
substantial	large
termination	end
utilization	use

Slang words – use in everyday speaking, but not in proposals	
Hit the ground running	Well-seasoned managers
Legal words – if used, make sure you intend to comply with the legal definition it.	
Ensure	Guarantee

3.3 Developing a Communication or Outreach Plan

The development and administration of public awareness and education surrounding the grant programs can be extensive. The initial phase of projects often require that a communication plan is developed that will support increasing public awareness or involvement in the community through outreach, training or social media.

Social Media

Social media are computer-mediated tools that allow people to create, share or exchange information, ideas, and pictures/videos in virtual communities and networks and depend on mobile and web-based technologies to create highly interactive platforms through which individuals and communities share, co-create, discuss and modify user-generated content. Think of social media in terms of real-life conversations. Would you call a friend to tell them what you are eating for lunch? The answer is No. Would your friends be interested in an event you are planning or hearing information that could help them within their daily lives? The answer is most likely. There's a slippery slope when it comes to what kind of information to share through social media networks. Consider these questions before hitting that post button. Is this information relevant, timely, entertaining, informative or helpful? An example of a basic communication and outreach plan is included in Appendix C.

3.4 BUDGET PREPARATION FOR THE PROPOSAL

Funding levels in Federal assistance programs change yearly. It is useful to review the appropriations over the past several years to try to project future funding levels (see Financial Information section of the program description). It is also important to recognize the funding levels and amounts based on clientele and service area. Washoe County would not be expected to apply for the same amount as Clark County, unless there was a specific service population that would justify the application budget amount.

A well-prepared budget justifies all expenses and is consistent with the proposal narrative. Some areas in need of an evaluation for consistency are: (1) the salaries in the proposal in relation to those of the applicant organization should be similar; (2) if new staff persons are being hired, additional space and equipment should be considered, as necessary; (3) if the budget calls for an equipment purchase, it should be the type allowed by the grantor agency; (4) if additional space is rented, the increase in insurance should be supported; (5) if an indirect cost rate applies to the proposal, the division between direct and indirect costs should not be in conflict, and the aggregate budget totals should refer directly to the approved formula; and (6) if matching costs are required, the contributions to the matching fund should be taken out of the budget unless otherwise specified in the application instructions (see matching information below).

It is very mandatory to become familiar with Government-wide circular requirements. The Catalog identifies in the program description section (as information is provided from the agencies) the particular circulars applicable to a Federal program, and summarizes coordination of Executive Order 12372. The applicant should thoroughly review the appropriate circulars since they are essential in mandatory items to include such as cost principles and conforming to

government guidelines for the Catalog Federal Domestic Assistance (CFDA). Many of the highlights are included in the Grant Manual, but there may some additional requirements for each federal program.

All budgets must be reviewed by your agency Administrative Services Officer (ASO) or designee. Grants are both fiscal and programmatic and require communication between both.

The proposal budget should be derived directly from the project description. Budgets are generally computed on a 12-month basis, unless the project will have a different time frame. Cost estimates are usually required for each year of a multiple-year project, though the level of detail varies by sponsor.

It is important to follow the grantor guidelines for format. Determine what costs the grantor allows. For example, some government and nonprofit sponsors do not allow faculty academic year time to be charged time to a project. The proposal budget for all years of a multiyear project is generally reviewed and approved before the project begins. Thus, it is important to include enough funds to cover likely cost increases, both before the project is funded (which may be 6 to 12 months after proposal submission) and in subsequent years. Because it is impossible to predict exactly how costs will change in the future, the budget figures are estimates of what a project will cost, with a "do not exceed" expectation.

The budget should not wait until the end of the Project Design. Although traditionally in the back or the last to be completed in a grant, it is often one of the most important components. Be sure to set a general budget prior to developing the grant. (Appendix D example of a federal grant template and budget example).

3.4.1 COST SHARING & MATCHING

Any match requirements will be discussed in the Request for Applications (RFA) for each funding source. Match may be cash contributions or in-kind match. For Sub-Recipient proposed in-kind matches are verified during site reviews. Grantees and sub-grantees must maintain documents substantiating any cost sharing or matching. All match must directly benefit the program for which the funds are granted. *If the funding opportunity announcement specifies that matching or cost sharing is required, it also will specify the following:*

- Whether the inclusion of matching or cost sharing in the application is an eligibility requirement or is an evaluation criterion;
- The nature of the requirement, e.g., whether it is a fixed percentage or the funding agency cannot fund more than a specified percentage of costs; and/or
- Required documentation, such as letters of commitment;
- Difference between in-kind and cash match.

The terms “matching” and “cost sharing” are often used interchangeably. However, “matching” usually refers to a statutorily specified percentage, whether specified as a fixed or minimum percentage of non-Federal participation in allowable program or project costs that must be contributed by a recipient in order to be eligible for Federal funding or a not-to-exceed percentage of Federal participation. “Cost sharing” refers to any situation in which the recipient shares in the costs of a project other than as statutorily required matching. This includes situations in which contributions are voluntarily proposed by an applicant and accepted by the funding agency by inclusion in the approved budget as shown in the NOFA.

Federal funds may not be used to match federal grant funds. Federal Funded positions (i.e. WIC) cannot be used for match (exceptions through the Federal Highway Administration and Community Development Block Grant through the US Department of Housing and Urban Development, when specifically noted in the RFA).

The source and amount of costs and/or the value of third-party in-kind contributions proposed by the applicant to meet a matching or cost-sharing requirement must be identified in the application budget. The determination of allowability of costs for matching or cost-sharing purposes is based on the same requirements, including the cost principles that apply to use of Federal funds. Also, the classification of a contributed cost as either direct or indirect must be consistent with the classification of other costs incurred by the recipient for the same purpose in like circumstances. Please review to other federal agencies CFR’s for specifics on what is allowed for match requirements.

All required matching or cost sharing, whether required by statute or regulation, will be shown as part of the total approved budget in the NOGA and becomes an award requirement enforceable through the NOGA. The costs that the recipient incurs in fulfilling its matching or cost-sharing requirement are subject to the same requirements, including the cost principles that are applicable to the use of Federal funds, including prior approval requirements and other rules for allowability described in detail in federal CFRs.

If awarded the grant, and specific match was discussed, grantees must maintain records that clearly show the source, amount, and timing of all match contributions.

The following may be used as cash match:

1. Local appropriations from governmental agencies.
2. Funds contributed from private sources.
3. Salaries of existing personnel who are transferred to grant activities ONLY if the original positions are filled with new personnel and salary is not claimed for reimbursement.

NOTE: The agency must prove additional staffing was hired to do the original assignments at a comparable salary rate.

The following may be used as "in-kind" match:

1. Donations of expendable equipment, office supplies, workshop or classroom materials, or workspace. (Please use Donated Equipment and Donated Material Valuation forms included in Appendix.)

2. The monetary value of time contributed by professional and technical personnel and other skilled and unskilled labor if the services they provide are an integral and necessary part of the funded project.

NOTE: The value placed on loaned or donated equipment may not exceed its fair rental value. The value placed on donated services must be consistent with the rate of compensation paid for similar work in the organization or the labor market. Fringe benefits may be included by the recipient organization for its own employees.

3. All volunteer services claimed as the non-state portion of the matching grant must be documented by time records signed by both the volunteer and supervisor. Time accounting for project volunteers is identical to that required for paid personnel. Such records must show the actual hours worked and the basis for determining the volunteer's contribution rate. (Please use Donated Labor Valuation form included in Appendix.)

4. Rates charged for volunteers serving within their profession must be consistent with rates paid in state government for comparable activities.

5. If a volunteer performs services outside his profession, that labor must be assessed at federal minimum wage unless approved by the Agency and Budget Office.

6. In-kind contributions for items other than personnel services must reflect fair market value and must be of such nature that if the state share were used to pay for the contribution, the grantee would have incurred an allowable cost. The non-state share is subject to audit, along with the state share.

B. Indirect cost rates may be claimed only if the agency has a pre-negotiated agreement with the federal government. A copy of the pre-negotiated agreement must be submitted to the Agency.

C. The matching share must be obligated by the end of the period for which the state funds have been made available.

3.4.2 SUPPLEMENT NOT SUPPLANT

The current policy in the State of Nevada that deals with the supplementing and supplanting of funds proves to be a challenge for many state agencies. Under state budget policies, if an agency provides a service and later receives grant funding for a same or similar project, the General Fund monies are deducted from the agency's budget. When the grant expires, the agency must include information in there next budget request the information to include

General Fund money, to replace the expired grant funds. The agency is allowed to accept funds without a General Fund penalty if the grant funds are for supplemental purpose, to expand to another population, or to add another program.

To determine whether expenditure supplements and not supplants, grant recipients must run these three tests:

> ***Test I: Required*** – Is the program or activity that the agency wants to fund required under state, local or another federal law? If it is, then it is supplanting.
> ***Test II: Equivalency*** – Were state or local funds used in the past to pay for this program or activity? If they were, it is supplanting.
> ***Test III: Non-Title I Programs*** - Are the same programs or activities being implemented in other schools that do not receive Federal funds (e.g. Title I) AND are these programs and activities being paid for with state or local funds? If yes, then this is supplanting.

If expenditure does not pass any of the above tests, then it is presumed that the federal funds are supplanting state or local funds. Expenditures must pass all three tests to truly be supplemental. For more information, contact your Budget Analyst at the State Budget Office or the Grant Office.

3.4.3 MAINTENANCE OF EFFORT (MOE)

The term "Maintenance of Effort" refers to the requirements placed upon federal funded grant programs to demonstrate the level of state and local funding remains relatively constant from year to year. Failure to meet MOE requirements may result in loss of eligibility of funding. Charges to Federal awards may include reasonable amounts for activities contributing and directly related to work under an agreement, such as delivering special lectures about specific aspects of the ongoing activity, writing reports and articles, developing and maintaining protocols (human, animals, etc.), managing substances/chemicals, managing and securing project-specific data, coordinating research subjects, participating in appropriate seminars, consulting with colleagues and graduate students, and attending meetings and conferences. To demonstrate compliance with the requirement, States must provide a detailed list of current and projected nonfederal revenues in your application. If your organization fails to demonstrate maintenance of effort in your report at the end of the grant period, grant funds may be rescinded and the grantor may require states to return funds.

All individual identified in grant proposals must document their time. Under no circumstances, should and any one person have more than 100% of their time allocated to grant applications, whether or not grant funds are being requested or the individual is identified as part of the management team. For more information, please refer to Code of Federal Regulations Section 200.430.

3.5 MASTER SERVICE AGREEMENT

The first step to identifying grant assistance for the writing or development of a grant is to contact the Grant Management Office to determine what level of support is available for the grant you would like to submit and if it is available within the timeline that your agencies requires. The Grant Office has conducted an RFP in accordance with State Purchasing guidelines to assist agencies in securing and administering federal grant awards to support the delivery of programs to benefit Nevadans, should state grant resources or the grant office be unable to assist. The contracts are mandatory for state agencies to use when contracting for grant services. Services may be performed on an as-needed basis and will include, but not be limited to, working with state agencies to develop grant strategies to support existing programs, identifying new federal opportunities, consulting and project management of special competitive opportunities in conjunction with state personnel, preparing applications and budgets, administering awarded funds, and training of state grant analysts in effective grant writing and administration. The RFP is on-going, and MSA vendors will be reviewed and evaluated annually. The current approved contractors were selected on subject matter expertise and comparable engagement experience. These contracts can also be used for grant management in times when staffing is critical while working through the hiring process for a full time staff member.

It is against the Code of Federal Regulations (CFR 200) to contract or hire an individual or firm for work on grant writing or development, and then to include that individual as a contractor, employee or other in the grant.

The MSA RFP is located on the Purchasing Website:
http://purchasing.state.nv.us/Grant/FederalGrant.htm

4.0 FEDERAL SYSTEMS

4.1 SAM.GOV

If you have not previously registered in System for Award Management (SAM) (in Sam.gov), you are encouraged to read all instructions below before you register in these systems. The entity's registration should be active in 3-5 business days.

1. Create a Personal Account and Login.
2. Click "Register New Entity" under "Manage Entity" on your "My SAM" page.
3. Select your Entity type.
4. Select "NO" to "Do you wish to bid on contracts?"
5. Select "YES" to "Do you want to be eligible for grants and other federal assistance?"
6. Complete "Core Data".
    a. Validate your DUNS.
    b. Enter Business Information.

c. Enter CAGE code if you have one. If not, one will be assigned to you after you have completed your registration. Non-domestic registrants must enter NCAGE code.

7. Enter General Information (business type, etc.).
    a. Financial Info (EFT).
    b. Proceedings detail.
8. Complete "Point of Contact". Note: This point of contact will need to respond to any questions or concerns (or facilitate) the questions by the agency. If the point of contact will be out of the office for any reason, there needs to be a back-up as the turnaround for questions on grants is limited.

- All organization/entity information MUST BE IDENTICAL IN BOTH DUNS and SAM. You should NOT request a new DUNS number; each agency in the State of Nevada currently has a DUNS numbers.
- You cannot enter one address for DUNS and then a different address for SAM. This will cause a system error and result in significant delays.
- You cannot have unequal spacing between words in the primary contact information fields. Be very precise when entering all data.
- There is no registration fee SAM for any organization that is a (or is applying for) financial assistance recipient of the US government, including contracts, grants, and cooperative agreements. There are businesses that will assist in registration for a fee, but you are not required to make payment to any representatives for purposes of contracts, grants, or cooperative agreements.

4.2 GRANTS.GOV

The Grants.gov program was established in 2002 and is an E-Government initiative operating under the governance of the Office of Management and Budget. This website provides a common location for federal agencies to post discretionary funding opportunities and for grantees to find and apply for them.

There is a four-step process for registration:

1) Must first have the appropriate DUNS number;
2) Have the DUNS number registered in SAM.gov;
3) Username & Password for AOR;
4) AOR Authorization (by E-Biz POC).

4.3 USASPENDING.GOV

USASPENDING.gov is a public website to comply with the Transparency and DATA federal requirements. This site is open to the public to research how federal grant dollars are being awarded and distributed. This website is the public face of the 2008 Federal Transparency Act. Upon initial award, Federal agencies enter the Prime Awardee. Each Prime Awardee is to use the FSRS.gov (transparency reporting) website to enter each of the sub-awards for the prime award. Once the information is submitted, FSRS updates USASpending. The State of Nevada requires all sub-recipient awards to be updated in the FSRS system for State and Federal Transparency. Federal requirements are "over $25,000" but that would not ensure reconciliation on multiple projects.

POST-AWARD

The State of Nevada is responsible for the efficient and effective administration of Federal awards through the application of sound management practices. State Departments and Agencies assume responsibility for administering Federal funds in a manner consistent with underlying agreements, program objectives, and the terms and conditions of the Federal award. Each State Department and/or Agency, in recognition of its own unique combination of staff, facilities, and experience, will have the primary responsibility for employing whatever form of organization and management techniques may be necessary to assure proper and efficient administration of Federal awards.

5.0 NOTICE OF GRANT AWARD (NOGA)

5.1 AGREEMENTS

A grant agreement is a ***class of contract*** which provides the transfer of cash or something of value to a recipient to support a public purpose authorized by law. Grant agreements are different from other contracts in many key ways. ***Grant monitoring requires contract management certification training through the State of Nevada Purchasing, and the Grant Management course through the State Grant Office. Both courses are available through NEATS. All federal and state requirements for contracts, applies to grants.***

Grants are financial assistance paid or services furnished by a state agency via a third party to an eligible recipient instead of acquiring by professional or technical contract, purchase, lease, or barter property or services for the direct benefit or use of the granting agency. Grants always involve three parties: the federal or state agency with authority to make the grant, the state or other entity that will administer the grant or deliver the service, and the recipient of the service.

When State Agencies receive the Official Notice of Grant Award (NOGA) from the federal awarding agencies, it should be sent to the state agency budget officials of the actual award amount. The NOGA should also be sent per the administrative directions to Budget, LCB and the Grant office. The State Controller's Office also requires notification. Agency staff (both program and fiscal), as determined by

each Department are required to read the grant award documentation. If there are any questions about wording in the award documentation, the agency should contact the federal grantor that issued the award and ensure that everything is clarified.

5.2 Terms & Conditions

By accepting funds under a federal grant, an agency agrees to comply with, and include in all sub-grants, the grant provisions, all applicable federal statutes, regulations and guidelines, and any amendments. The agency agrees to operate the funded program in accordance with the approved grant application and budget, supporting documents, and other representations made in support of the approved grant application. Any inconsistency in the Grant Award shall be resolved by giving precedence in the following order: (a) Applicable Federal Statutes, (b) Awarding agency and other federal regulations, (c) Special Provisions, (d) General Provisions, (e) Notice of Funding Opportunity, and (f) The approved grant application including assurances, certifications, attachments, and pre-award negotiations.

5.3 Nevada State Administrative Code (SAM) Requirements

State guidance related to all state processes and procedures is found in the Nevada State Administrative Manual (SAM). The State Administrative Manual is a compilation of policy statements concerning the internal operations of State government. Policies are based on statute or other approved regulations. This manual is published for use as a guide in conducting the State's business. A copy of SAM can be found at:
http://budget.nv.gov/uploadedFiles/budgetnvgov/content/Documents/State%20Administrative%20Manual.pdf

5.4 State Appropriation & Approval

Federal funds are awarded at the State agency level. The State agency budget office is responsible for informing the Department of Administration Budget Office of any new award. This notification to Budget should occur within two weeks of a NOGA. Normally notification to Budget takes the form of a Work Program.

What Is A Work Program?

A work program is the document used to request changes to a legislatively approved budget or to establish a budget for a non-executive budget account. It identifies the proposed sources of funds to be received by your agency and shows a plan of how the money is to be spent. In essence, it is a mini-decision unit that is self-balancing and must be self-supporting.

There are several reasons for requesting a revision to your legislatively approved budget.
Examples of the types of changes are:

- Transfer authority between categories
- **Accept a new gift or a grant award**
- Increase or decrease authority to collect fees
- Balance forward authority or remaining cash at the end of a fiscal year
- Establish or revise a non-executive budget account

When requesting a revision to an executive budget account or a non-executive budget account, specific supporting documentation is required. Listed below are the items needed to properly justify a work program. Some documents are automatically generated by the work program module, some documents are required attachments to move the work program through the approval process, and some documents should be included by the agency, if applicable. The items listed are not inclusive and a work program may require unique documentation.

For information on the Work Program:
http://budget.nv.gov/uploadedFiles/budgetnvgov/content/Documents/FY2014_NEBS_Work_Program_Manual.pdf
For general information on State Budgeting:
http://budget.nv.gov/uploadedFiles/budgetnvgov/content/Documents/budget_101_manual_6th_ed.pdf

Your first resource for agency work programs should be your assigned fiscal officer.
The State agency should obtain documentation from the federal agency about whether or not indirect cost recovery is allowed. Sometimes this is mentioned in the paperwork accompanying the grant award. There are two types of indirect cost recovery: agency indirect and statewide cost allocation. Agency indirect costs would be the administrative costs within the agency that support agency operations. Statewide cost allocations are those costs incurred by other State agencies in support of multiple state agencies. If the grant is eligible for agency or statewide indirect cost recovery and the State agency is not included in the Statewide Cost Allocation Plan (SWCAP), the agency should contact Budget so that it can be included. There are cases where an agency indirect cost recovery rate is approved by the federal government, but the agency chooses to forgo the agency indirect recovery in order to put more dollars into services. Work through your Agency ASO to ensure appropriate methods are completed.

5.5 COST ALLOCATIONS

Cost allocation means that, if a Grantee incurs a cost for goods or services used by more than one program, the cost must be charged to all programs. Each program will be charged for the percentage of the cost of the goods or services used by each program. The method for determining that percentage is discussed below under No. 2(a).

This requirement must be taken into consideration when a Grantee incurs a cost that benefits more than one cost objective (program). One example would be having one director who works for two different programs. Another example would be a utility bill for a building used for two different programs, each with separate and distinct funding.

When there are multiple cost objectives, the Grantee must do the following.

Develop and document a reasonable methodology for determining how each applicable cost will be allocated to each cost objective (program) involved. This method must be designed to allocate to a program the portion of the cost that benefits the program. Examples of reasonable methodologies include, but are not limited to the following.

(1) The salary of a single person performing duties for multiple programs will be allocated based on the time the person spends on each program as documented by time studies or on timesheets indicating time actually spent on each program.

(2) Facility expenses for a building housing multiple programs will be allocated based on the number of square feet used by each program as documented by a building-use study or by determining a reasonable percentage of the space utilized by staff associated with the funded program.

(3) General office supplies should be allocated based upon the number of FTE working on each funding source and the same percentages used to allocate salaries to different programs. For example, if a position is working 100% of the time for a specific grant, that grant should be charged 100% of the per FTE charge for general office supplies. If a position is allocated 25% to one grant and 75% to another grant, the per FTE charge for general office supplies for that position should be split in the same 25% / 75% ratio. The FTE charge for general office supplies is the total amount spent on office supplies divided by total FTEs.

Maintain documentation that supports the allocation of a cost to each program based on the methodology developed pursuant to No. 2(a) above. Examples of this type of documentation include, but are not limited to the following.

(1) Time studies
(2) Vehicle use studies
(3) Building use studies

<u>To be allowable under a grant award, costs must also meet the following criteria.</u>

a. Be necessary and reasonable for proper and efficient performance and administration of fund awards;

b. Conform to any limitations or exclusions set forth in these instructions, or other governing limitations as to type or amount of cost items;

c. Be consistent with policies and procedures that apply uniformly to fund financed and other activities of the organization;

d. Be accorded consistent treatment;

e. Be determined in accordance with generally accepted accounting principles;

f. Be adequately documented;

If a reimbursed cost is later disallowed, it must be repaid to the State by the Sub-recipient, and should be stated in the MOU or sub-recipient agreement.

Audit Note for Match:

If a recipient does not meet the specified level of matching or cost sharing as reflected in the original NOGA, an agency may take one or more of the following actions:

- Make a downward adjustment in the Federal award amount; and/or take an enforcement action affecting the current or future awards to that recipient; and/or
- If the amount in the NOGA exceeds the statutory (or implementing regulatory requirement) for matching, where justified, reduce the matching to no less than the statutory or regulatory requirement; and/or
- If the amount in the NOGA exceeds a regulatory cost-sharing requirement, where justified and authorized by the regulation, reduce the cost sharing to no less than the regulatory requirement.

When satisfying a matching or cost-sharing requirement by not claiming the full indirect cost reimbursement to which the recipient is otherwise entitled, the recipient should reduce its charge to the grant to reflect the amount claimed. The amount of the reduction qualifies as matching or cost sharing. The recipient should include an explanation in the "Remarks" section of the Financial Status Report.

6.0 ADMINISTRATIVE REQUIREMENTS *(2 CFR, Part 200, Subpart B, C & D)*

6.1 FINANCIAL MANAGEMENT

Each agency must expend and account for federal awards in accordance with state laws and procedures for expending and accounting. Each agency's financial management systems (including records documenting compliance with Federal statutes, regulations and the terms and conditions of the Federal award) must be sufficient to permit the preparation of reports required by general and program-specific terms and conditions and the tracing of funds to establish that grant funds have been used appropriately.

Adequate financial systems must:

1) Identify in its accounts all Federal awards received and expended. This must include the CFDA title and number, the Federal award identification number and year, the Federal agency name as well as pass-thru entity information.
2) Provide accurate, current, and complete disclosure of all financial results of each Federal award or program (for financial, program and monitoring).
3) Retain records that identify the source and application of funds for federally-funded activities (i.e. authorizations, obligations, unobligated balances, assets, expenditures, income and interest) and be supported by source documentation.

4) Provide for effective control and accountability for all Federal funds, property and, other assets. Assets must be safeguarded and assured that they are used solely for the authorized purposes.
5) Reconcile expenditures and draw-downs with budgeted amounts for each Federal award.
6) Create written procedures for the payment or disbursement of Federal awards.
7) Create written procedures for determining allowability of costs for Federal awards.
8) Be able to identify federal funding expenditures by County of the State of Nevada. If it is not applicable to one County, to be identified as "Statewide."

6.2 INTERNAL CONTROLS

The State has established and maintains effective internal control over Federal awards. Internal controls provide reasonable assurance that an entity is managing the Federal award in compliance with Federal statutes, regulations, and the terms and conditions of the award. Non-federal entities **must** have written internal controls that **should** be in compliance with guidance in "Standards for Internal Control in the Federal Government" issued by the Comptroller General of the United States or "Internal Control Integrated Framework" issued by the Committee of Sponsoring Organizations of the Treadway Commission (COSO).

CFR Update (2015):

Sub-recipients must have internal control policies pursuant to 2 CFR 200.303 that agencies must verify prior to any sub-grant award funds being released.

Pursuant to NRS 353A.020, agencies are required to develop written procedures to carry out the uniform system of internal accounting and administrative controls adopted by the Department of Administration. The uniform system of controls is documented in the Self-Assessment Questionnaire [SAQ]. The Department of Administration, Division of Internal Audits Financial Management has developed the templates below to assist agencies with developing written procedures. These templates serve as a framework or outline to be used when writing procedures and are designed to work in conjunction with the Self-Assessment Questionnaire [SAQ] (*http://iaudits.nv.gov/About/FinancialMgmt/SAQ/)*

Internal controls must comply and allow for the monitoring and evaluation with Federal statutes, regulations, and the terms and conditions of the Federal award. An agency must take prompt action when instances of noncompliance are identified including noncompliance identified in audit findings.

6.3 PAYMENTS

For the State of Nevada, payments are governed by the Treasury-State Cash Management Improvement Act (CMIA) agreements and default procedures codified in 31 CFR Part 205. All other non-federal entities payment methods must minimize the time elapsing between transfer of funds, whether they payment is made by electronic funds transfer or issuance or redemption

of checks, warrants, or payment by other means. The CMIA agreement provides rules and procedures or the efficient transfer of federal financial assistance between the federal agencies and the State.

The general provisions of the Act are:

1. Federal agencies must make timely transfers and grant awards to state agencies.
2. State agencies must minimize the time between the deposit of federal funds in the state's account and the disbursement of funds for program purposes.
3. With some exceptions, the federal government is entitled to interest from the state from the day federal funds are credited to the state's account to the day the state pays out the federal funds for federal assistance program purposes.

The State of Nevada currently has a Cash Management Improvement Act Agreement with the Secretary of the Treasury, United States Department of the Treasury.

6.4 PROGRAM INCOME

Program income is money received by the Grantee specifically for the project funded by the grant. Examples of program income include fees for service in accordance with a sliding fee scale or contributions for a particular event related to the grant-funded project.

At the beginning of each grant year, the anticipated program income must be reported on the Budget Summary page submitted to the Grantor along with the project budget. Funds must be listed by budget category (e.g., Personnel, Communications, and Travel). Each program must maintain a system that assures confidentiality. All participant contributions must be credited to the appropriate grant and used to support that grant. Funds should not be co-mingled with other sources of revenue. The system must ensure full accountability for all program contributions and fees. Each Grantee must clearly document the amount and source(s) of program income, and exactly how the money was used for the grant purpose. Internal accounting and administrative controls must be sufficient to provide reasonable assurance that operations are effective and efficient, financial records and reporting are complete and reliable, and the program complies with applicable laws and regulations.

For any grant that deals with the delivery of health care services, the sub-recipients must be able to bill third-party payers.

6.5 PROPERTY / EQUIPMENT

Grantees must establish a system of accounting for all equipment purchases of $1,000 or more and for purchases of any amount that include computers, computer accessories (e.g., printers, scanners), computer software or other electronic devices such as fax machines. The system must include, at a minimum, a listing of all equipment purchased with grant funds, the date purchased, the funding source, the cost, the serial number or other identifying number, the

physical location and disposition. An ongoing inventory must be maintained for all items purchased with grant funds that meet all of the following criteria.

- Has an anticipated useful life extending beyond one year;
- Is not consumed in use;
- Is not attached permanently as a non-movable fixture;
- Had a purchase price of $1,000 or more, or is a computer or software;
- Grant Managers may also request that Grantees inventory certain other items (e.g., furniture, GPS systems and webcams);
- Grantees should conduct a physical inventory periodically (no less than annually) and compare it to the written records. If a Grantee has equipment or property purchased with grant funds they no longer use, a listing of the items must be sent to the agency for review and follow up; and
- Following termination of a grant, the funder may direct the Grantee to retain, transfer, or liquidate equipment and non-consumable materials purchased with grant funds. If equipment is liquidated, use of the proceeds must be approved by the funder. If equipment or property was purchased with Federal funds and the fair market value is at least $5,000, the Federal granting agency must be reimbursed after liquidation.

6.6 SUPPLIES

The definition of supplies includes all personal property, excluding equipment, intangible property, debt instruments, and inventions of a contractor used in the performance of work under the grant agreement.

6.7 PROCUREMENT & COMPETITION

The buying of goods and services by the government, especially when all companies have the opportunity to provide those goods and services. Federal procurement rules are designed to ensure competition and protect taxpayers from abuse and fraud. Under CFR, Title 2 – Subtitle A, Part 200 (**§200.317).** When procuring property and services under a Federal award, a state must follow the same policies and procedures it uses for procurements from its non-Federal funds. The state will comply with §200.322 Procurement of recovered *materials* and ensure that every purchase order or other contract includes any clauses required by section §200.326 Contract provisions. All other non-Federal entities, including sub-recipients of a state, will follow §200.318 General procurement standards through 200.326 Contract provisions.

CFR §200.319 on competition states: **(a) All procurement transactions must be conducted in a manner providing full and open competition consistent with the standards of this section. In order to ensure objective contractor performance and eliminate unfair competitive advantage,** contractors that develop or draft specifications, requirements, statements of work, or invitations for bids or requests for proposals must be excluded from competing for such procurements. This section is regularly audited by both State and Federal audit units.

6.8 TRAVEL

Grantees must follow these instructions in order to be reimbursed for allowable travel expenses that are allocable to the grant and are included in the Grantee's approved budget. **Instructions are based on Departmental travel policies and/or policies documented in the State Administrative Manual. For mandatory grant conferences out of state (i.e. Washington, D.C.), SAM Travel Section 0214 should be consulted.**

1) **Forms**
   Forms for travel authorization and reimbursement are developed within individual agencies, examples can be provided upon request to the Department of Administration's Grants Office.

2) **Reimbursement**
   Is in accordance with the Grantee's established policies or up to the U.S. General Services Administration (GSA) rate established for the employee's destination, whichever is less. An exception may be made for lodging that is procured at a prearranged place such as a hotel when a meeting, conference or training session is held, ***but is limited as defined in the State Administration Manual*** referenced above. All expenses related to a single trip must be submitted on the same Request for Funds in order to avoid duplication of payment on different elements of the same trip.

3) **Least Expensive Means**
   As a general rule, Grantees should always execute travel by the most economic means reasonably available. For example, the use of courtesy shuttles from airport to hotel is preferable to the expense of taxis.

4) **Trips That Include Overnight Travel or Airfare**
   When billing for overnight travel or any trip that requires airfare (whether in-state or out-of-state):
   a) The following documents must be attached to the associated Request for Funds:
      - An agenda if the purpose of the trip was to attend a conference or meeting.
      - A printout of the GSA rate for the area visited (showing allowable hotel and per diem costs).
      - Receipts for parking, airfare, baggage fees, lodging, conference registration, internet access for business purposes, and car rental or other ground transportation (e.g., taxi or shuttle).
      - Note that the receipt for lodging reimbursement must include a hotel front desk receipt obtained at checkout. If a room is booked via a service such as Expedia or hotels.com, that receipt must also be attached. (Providing both the front desk receipt and the booking receipt verifies that the employee not only paid for the hotel but also made the trip and used the hotel room.)

The amount charged to the grant must be limited to the lodging rate plus applicable taxes and fees, and must either be limited to the GSA rate for the destination or meet the exception criteria set forth in Item 2 of this Section. Personal expenses such as movies, internet access for personal use and charges to deliver meals via room service will not be reimbursed.

b) Receipts are not required for incidental expenses (e.g., fees for luggage carts, metered parking, toll charges and tips). Reimbursement will be limited to the GSA approved amount per day.

5) Meals

a) Meals will be reimbursed at the GSA rate for the employee's destination (whether in-state or out-of-state). A printout of the GSA rate for the area visited must be attached to the Request for Funds.

b) If a Grantee's written travel policies require that the employee be reimbursed for actual costs, then meal receipts must be attached to the Request for Funds. The Department will reimburse the Grantee for the actual cost or the GSA rate, whichever is less. The Grantee may not submit a mix of GSA rate reimbursement and meal receipts. Only one reimbursement method will be accepted.

c) To be allowed reimbursement, the employee must:

i. Travel to a destination that is at least 50 miles from his/her work station;

ii. Depart at or before 7 a.m. for breakfast;

iii. Depart at or before 11 a.m. or return to the work site after 1:30 p.m. for lunch, and

iv. Depart at or before 5:30 p.m. or return to the work site after 7 p.m. for dinner.

Note that departure and return are defined as the time that the employee left or returned to his/her work station or his/her home, whichever is closer to the final destination (or to the airport if flying).

v. Meals provided as part of the meeting or conference agenda are not eligible for reimbursement, should not be claimed, and a note should be included indicating that the employee is not requesting reimbursement for that reason.

6) Local Travel Reimbursement

When submitting a request for local travel reimbursement that does not include airfare or extend overnight, Grantees do not have to submit a Travel Expense Reimbursement Claim form. Receipts are also not required unless the employee used a rental car or the Grantee is requesting actual reimbursement for meals. (Refer to Item 5 of this section for details about eligible meal reimbursement.) Grantees must include on the transaction list:

a) A breakout of the number of miles traveled and the reimbursement rate;
b) The amount paid for per diem;
c) The amount paid for parking, and
d) The amount paid for any other allowable travel expenses.

7) Mileage Reimbursement Standards

a) Mileage will be reimbursed at the current State rate or the rate in the Grantee's written policies and procedures, whichever is less;
b) Mileage will not be paid for travel to/from the employee's home and work station;
c) Mileage for business-related travel must be calculated from the employee's work station or from his/her home, whichever distance is less; and
d) Special reimbursement rules apply when an employee chooses to use a personal vehicle for his/her own convenience when other, less costly options are available.
   i. Reimbursement will be at half the regular rate if a personal car is used for Grantee business when an employee could have used a less costly means of transportation such as a company car or motor pool vehicle.
   ii. In the circumstance listed in Item 7(d)(i) above, if the employee could have flown to the destination at a cost that would have been less than half the regular mileage rate, reimbursement should be limited to the cost of the airfare.

7.0 COST PRINCIPLES

General standards of expenditures have been established to determine the allowability of costs: they provide detailed guidance on how to treat direct or indirect costs and set forth allowability principles for selected items of cost. Cost Principles are codified in chapter 2 of the Code of Federal Regulations (CFR) part 200, subpart E. Each federal agency will also have them codified in their particular chapter of the CFR's (i.e. labor is 29, health is 45, education is 34, homeland security is 44).

There are general tests (allowable, reasonable, and allocable) to determine the allowability of a cost within a Federal award. These tests apply whether the particular category of cost is one specified in the principles or one governed by other terms and conditions of the award. These tests also apply regardless of treatment as a direct or indirect cost. The fact that a proposed cost is awarded as requested by an applicant does not indicate a determination of allowability.

Factors affecting allowability of costs:

- Be necessary and reasonable for proper and efficient performance and administration of the Federal award;
- Be allocable to the Federal awards under the provisions of 2 CFR part 200;

- Conform to any limitations or exclusions set forth in federal laws, terms and conditions of the Federal award, or other governing regulations;
- Be consistent with policies, regulations, and procedures that apply to both Federal awards and other activities of the governmental unit;
- Be accorded consistent treatment. A cost cannot be assigned to a Federal award as a direct cost if any other cost incurred for the same purpose in like circumstances has been allocated to the Federal award as an indirect cost;
- Not be included as a cost or used to meet cost sharing or matching requirements of any other Federal award in either the current or prior period:
- Be the net of all applicable credits. Applicable credits refer to those receipts or reduction of expenditure-type transactions that offset or reduce expense items allocable to Federal awards as direct or indirect costs. (i.e. discounts, rebates, allowances, recoveries, adjustments):
- Be adequately documented (refer to Financial Management 200.300).

7.1 ALLOWABLE

A cost is in conformance of a grant if it is within the limitations and exclusions contained in the terms and conditions of an award.

7.2 REASONABLE

A cost is reasonable if, in its nature or amount, it does not exceed that which would be incurred by a prudent person under the circumstances prevailing at the time the decision was made to incur the cost. The CFR elaborates on this concept and addresses considerations such as whether the cost is of a type generally necessary for the organization's operations or the grant's performance, whether the recipient complied with its established organizational policies in incurring the cost or charge, and whether the individuals responsible for the expenditure acted with due prudence in carrying out their responsibilities to the Federal government and the public as well as to the organization.

7.3 ALLOCABLE

A cost is allocable to a specific grant, function, department, or other component, if the goods or services involved are chargeable or assignable to that cost objective in accordance with the relative benefits received or other equitable relationship. A cost is allocable to a grant if it is incurred solely in order to advance work under the grant; it benefits both the grant and other work of the organization, including other grant-supported projects or programs; or it is necessary to overall operation of the organization and is deemed to be assignable – at least in part, to the grant.

7.4 PRIOR APPROVAL

In order to avoid subsequent disallowance or dispute based on unreasonableness or non-allocability, and agency should seek the prior written approval of the awarding agency in advance of the incurrence of special or unusual costs.

7.5 DIRECT COSTS

Direct costs are those costs that can be identified specifically with a particular Federal award and can be directly assigned to the award relatively easy with a high degree of accuracy. Typical costs charged directly to a Federal award are the compensation of employees who work on that award, their related fringe benefits, costs for materials and other items of expense incurred for that Federal award. The salaries of administrative and clerical staff should normally be treated as indirect costs (facilities and administrative costs). Allowable direct costs are dependent on the federal funder.

Direct charging these costs may be appropriate only if all of the following conditions are met:

A) Administrative and Clerical duties are integral to a project or activity;

B) Individuals involved can be specifically identified with the project or activity;

C) Such costs are explicitly included in the award budget or have the prior written approval of the Federal awarding agency; and

D) The costs are not included in an agency's indirect cost rate.

Direct costs may be considered "administrative" in nature, as compared with direct costs that are "programmatic" in nature. Administrative costs that can be traced directly back to the program should be identified within the grant budget as a line item expense per the Federal Grant funding source guidelines and requirements.

For example, a Director of a non-profit who has completed a time-study may be able to directly relate a certain percentage of time to a particular grant. This would be considered a direct administrative cost. A Director who has no direct relationship with a program still needs to perform the work of the Director. This is an indirect cost. Rent can be considered a direct cost but is normally allocated among all grants or projects managed by a Grantee.

7.6 INDIRECT COSTS

Indirect costs are those that cannot be easily and assigned to a specific Federal award. Typical indirect costs are administrative and clerical functions (payroll, human resource, accounting staff etc.), maintenance, rent and utilities, etc. Indirect cost rates are approved by the agency's Federal cognizant agency. An agency that does not have an approved cost rate can negotiate between the pass-through entities up to a rate of 10%. The use of an indirect cost rate is generally outlined in the appropriation language, notice of grant opportunity, grant guidance or the terms and conditions of a Federal award. Any item included in an approved indirect cost rate cannot be charged as a direct cost.

Indirect costs represent the expenses of doing business that are not readily identified with a particular grant, contract, project function or activity, but are necessary for the general operation of the organization and the conduct of activities it performs. Looking at it another way, indirect costs are those costs that are not classified as direct. If a cost can be identified or

quantified, then it is not an indirect cost. Grantee budgets should not list any specific expenses in the indirect category.

7.7 SELECTED ITEMS OF COST

2 CFR Part 200.420 provides principles to be applied in establishing the allowability of certain items and is applied whether or not the cost is direct, indirect or match. Failure to mention a particular item of cost is not intended to imply that it is either allowable or unallowable; rather, determination as to allowability should be obtained in writing from the Federal funding agency.

SELECTED ITEMS of COST	ALLOWABLE or UNALLOWABLE	CIRCULAR TEXT
Advertising and Public Relations	Allowable with restrictions	§200.421
Advisory Councils	Allowable with restrictions	§200.422
Alcoholic Beverages	Unallowable	§200.423
Alumni/ae Activities	Unallowable	§200.424
Audit Services	Allowable with restrictions	§200.425
Bad Debts	Unallowable	§200.426
Bonding Costs	Allowable with restrictions	§200.427
Collection of Improper Payments	Allowable	§200.428
Commencement and Convocation	Unallowable	§200.429
Compensation for Personal Services	Allowable with restrictions	§200.430
Compensation – Fringe Benefits	Allowable with restrictions	§200.431
Conferences	Allowable with restrictions	§200.432
Contingency Provisions	Allowable with restrictions	§200.433
Contributions and Donations	Allowable if received, Unallowable if given to another entity	§200.434
Defense and Prosecution	Allowable with restrictions	§200.435
Depreciation	Allowable with qualifications	§200.436
Employee Health and Welfare Costs	Allowable with restrictions	§200.437
Entertainment Costs	Unallowable, unless authorized by Federal awarding agency	§200.438
Equipment and Other Capital Expenditures	Allowable with restrictions	§200.439
Exchange Rate	Allowable with restrictions	§200.440
Fines, Penalties, Damages	Unallowable with exceptions	§200.441
Fund Raising and Investment Management	Unallowable with exceptions	§200.442
Gains and Losses of Depreciable Assets	Allowable with restrictions	§200.443
General Costs of Government	Unallowable with exceptions for Indian Tribes and Cost of Goods Sold	§200.444
Goods or Services for Personal Use	Unallowable	§200.445
Idle Facilities and Idle Capacity	Idle facilities – unallowable with exceptions; Idle capacity – allowable with restrictions	§200.446
Insurance and Indemnification	Allowable with restrictions	§200.447
Intellectual Property	Allowable with restrictions	§200.448
Interest	Allowable with restrictions	§200.449
Lobbying	Unallowable	§200.450
Losses on Other Awards or Contracts	Unallowable	§200.451
Maintenance and Repair	Allowable with restrictions	§200.452
Materials and Supplies, including Computing	Allowable with restrictions	§200.453
Memberships, Subscriptions	Allowable with restrictions	§200.454
Organization Costs	Unallowable except with Federal prior approval	§200.455
Participant Support	Allowable with prior approval from Federal awarding	§200.456

	agency	
Plant and Security Costs	Allowable	§200.457
Pre-award Costs	Allowable with restrictions and with written approval of the Federal awarding agency	§200.458
Professional Service	Allowable with restrictions	§200.459
Proposal	Unallowable, allocate to indirect	§200.460
Publication and Printing	Allowable with restrictions	§200.461
Rearrangement and Reconversion	Allowable with restrictions	§200.462
Recruiting	Allowable with restrictions	§200.463
Relocation Costs of Employees	Allowable with restrictions	§200.464
Rental Costs of Real Property & Equip	Allowable with restrictions	§200.465
Scholarships and Student Aid	Allowable with restrictions	§200.466
Selling and Marketing	Unallowable, with exceptions	§200.467
Specialized Service Facilities	Allowable with restrictions	§200.468
Student Activity	Unallowable, unless Federal award specifically allows for it	§200.469
Taxes (including Value Added Tax)	Allowable with restrictions	§200.470
Termination	Allowable with restrictions	§200.471
Training and Education	Allowable	§200.472
Transportation	Allowable with restrictions	§200.473
Travel	Allowable with restrictions	§200.474
Trustees	Allowable	§200.475

8.0 REPORTING

Federal agencies require recipients to periodically submit financial and progress reports. Other required reports may include annual invention utilization reports, research misconduct reports, property reports, lobbying disclosures, audit reports, reports to the appropriate payment points (in accordance with instructions received from the payment office), and specialized programmatic reports. It is important to document the reporting to include in the grant narrative and to ensure a reporting matrix is developed to ensure compliance, once the grant is received.

At the end of each state fiscal year, each Agency is required to provide the State Grant Office a report of all expenditures, by grant, by County. The grant office will work to reconcile these figures with the USASpending.gov site to comply with the federal DATA Act and Transparency requirements. This information will be included in the biennial report to the Legislature and Governor's Office. See Appendix E for an example.

Nevada is using a decentralized reporting structure. As a prime awardee, each agency is responsible for reporting on their applicable grants and contracts.

Reports are entered through a web-based reporting system known as Federal Subaward Reporting System (FSRS), for all amounts regardless of amount to ensure reconciliation.

Registrants in FSRS require the active DUNS number associated to each federal award, and each username may only be linked to one (1) DUNS number. However, more than one (1) username may be linked to a DUNS number.

Sub-awards must be reported by months end following the month in which they were awarded, or amended.

Each agency may have additional and specific reporting requirements, but these are the minimum requirements:

- Provide accurate, current, and complete financial information about Federal Awards and, for sub-awards, reasonable procedures for ensuring that sub-recipients provide financial reports in sufficient time to allow preparation of required reports.
- Maintain records that adequately identify the sources of funds for federally assisted activities and the purposes for which the award was used, including authorizations, obligations, unobligated balances, assets, liabilities, outlays or expenditures, and any program income. Accounting records must be supported by source documentation such as canceled checks, paid bills, payrolls, and time and attendance records.
- Maintain effective control over and accountability for all cash, real and personal property, and other assets under the award; adequately safeguard those assets; and ensure that they are used only for authorized purposes.
- Compare actual expenditures or outlays with the approved budget for the award. Program staff should be working with fiscal staff to ensure consistency and understanding with grant authority, contract authority and budget authority.
- Determine the allowability of costs in accordance with the applicable Federal cost principles, program regulations, and other requirements cited in the NoA. This includes the ability to readily identify unobligated balances, accelerated or delayed expenditures, and cost transfers.
- Minimize the time elapsing between any advance payment under the award and the disbursement of the funds for direct program costs and the proportionate share of any allowable indirect or facilities and administrative costs, and ensure that the timing and amount of any payments to sub-recipients conform to this standard.

Program staff is required to notify their fiscal service manager when financial management problems are discovered. Deficiencies in a recipient's financial management system, whether reported by the recipient or identified by the funding agency, may result in the imposition of special award conditions, use of the reimbursement payment method, or other increased monitoring by the awarding office.

Failure to submit reports (i.e., financial, progress, or other required reports) on time may be basis for withholding financial assistance payments, suspension, termination or denial of refunding. A history of such unsatisfactory performance may result in designation of "high risk" status for the grantee organization and may jeopardize potential future funding from Federal agencies. All employees responsible for grant programs will have specific work performance standards that mandate as part of the employee's evaluation, the employee's ability to maintain the grant in compliance of federal and state regulations.

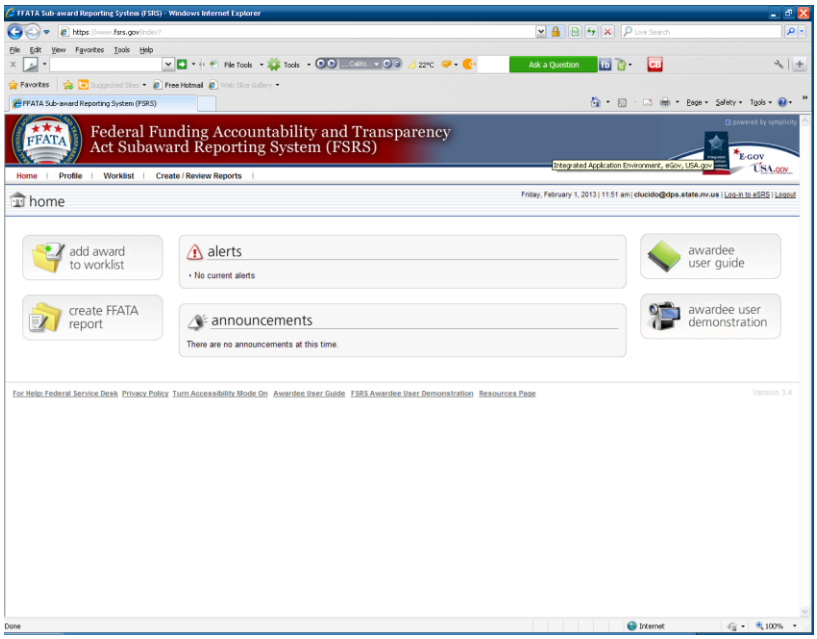
8.1 TRANSPARENCY ACT

The State of Nevada is required to report to whom federal dollars are sub-granted to. While the federal regulations require that all federal awards over $25,000 be updated in the FSRS system, **the State of Nevada requires that ALL federal awards regardless of the amount be updated in the FSRS system for auditing and reconciliation**. These do not have to be reported in individual increments, but can be reported the total for the sub-recipient. For example, if the sub-recipient is performing seven trainings at $1,000 per training, the State would report the $7,000 in the FRSR system. The FSRS.gov site is the reporting database that is used by grantees/awardees to report sub-grant activities. Nevada is responsible to report on every dollar expended and for each program. In addition, state agencies will be required to provide an annual report of all grant fund expenditures, and allocate those expenditures based on County. If the grant was for a statewide purpose, it would be allocated to "State". **Website: www.fsrs.gov**

8.2 FSRS System

State agencies are required to enter all sub-recipient awards into the FSRS system for reconciliation. This ensures compliance with the DATA Act and Transparency. The federal requirement is for all awards over $25,000. The Nevada State requirement is for all grant expenditures.

Home Screen

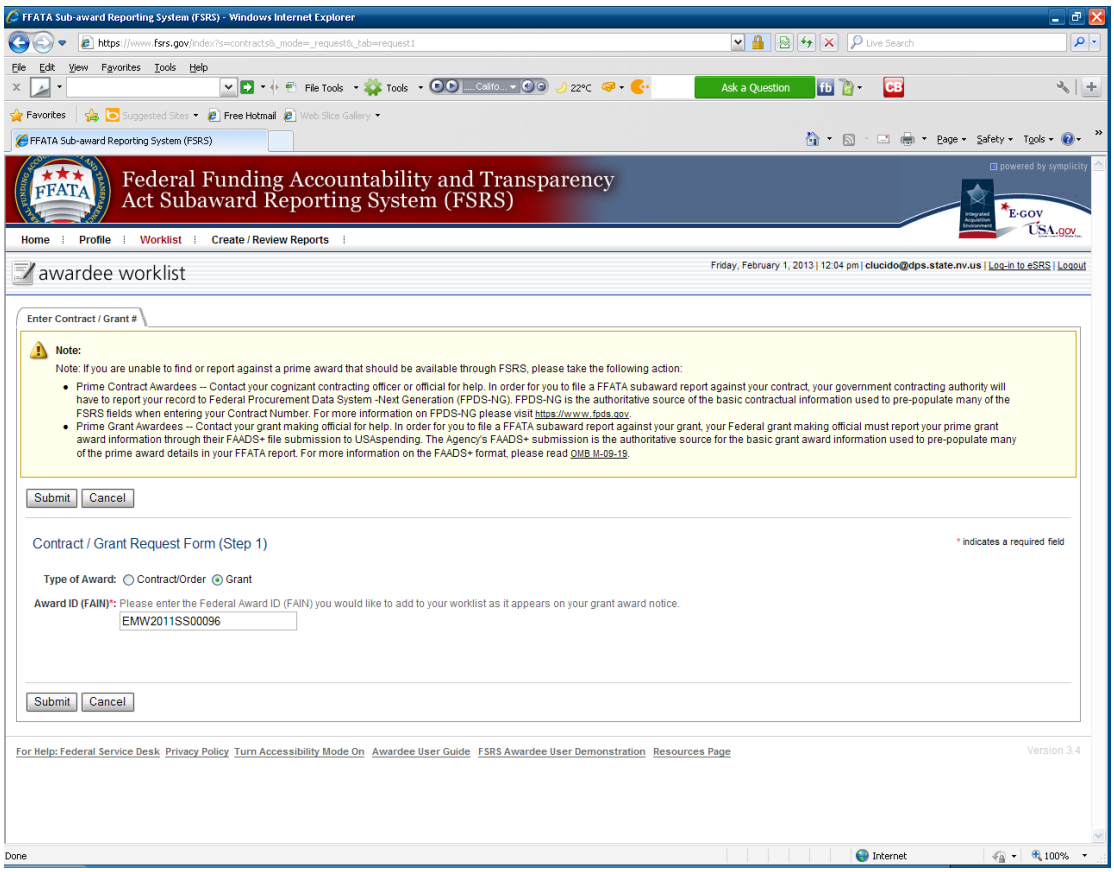


FSRS Worklist

In order to report sub-grants for a federal award, the award must first appear in the FSRS.gov site in the agency's 'Worklist'. The worklist is a collection of all current grants for the agency. If an award does not appear in the agency worklist, the agency must pull the award into its Worklist.

Pulling an Award into Worklist:

1) Select the icon Add Award to Worklist
2) In the question of type of award, select the radio button for Grants
3) An award/FAIN fill-in box will appear, enter the federal award identification number
4) Select submit



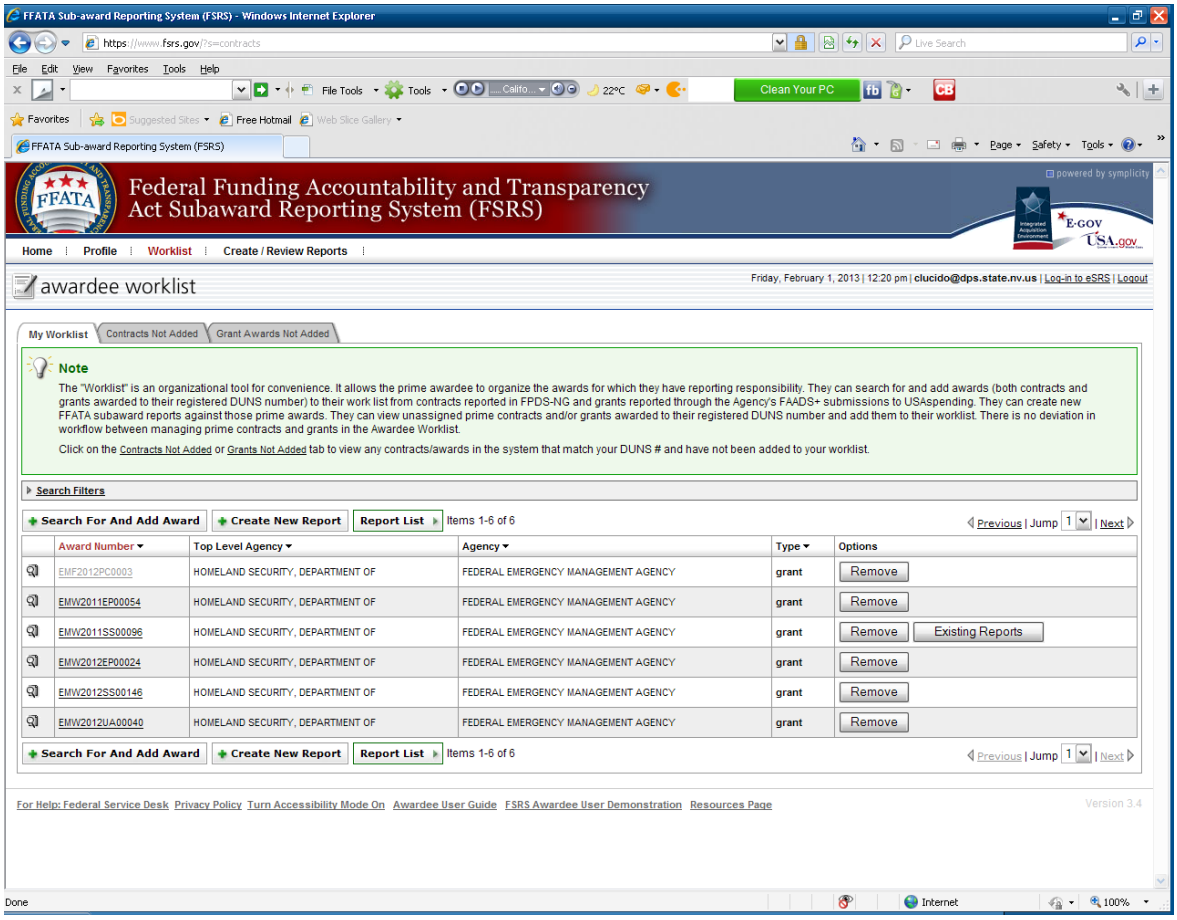
Working with Worklist

The awardee worklist is an organizational tool of convenience. It allows the agency to organize the awards that have reporting responsibilities. The tab labeled My Worklist is a collection of awards that have been pulled into the agency's profile. This tab allows you to see which awards have previous FFATA reports; this is depicted when the Reports icon is visible under the Options category.

Selecting the Grant Awards Not Added is another method of adding federal awards for the agency by searching the DUNS number.

Selecting the Award Number will allow you to review a brief summary of the prime award. This list represents the awards that are available for reporting. If an award does not appear in this list, it must be pulled into the agency's worklist (instruction for this can be found in previous section).

To create a New FFATA report, select the Create a New Report icon. This same task can also be accomplished by selecting the Create a FFATA report on the home page.

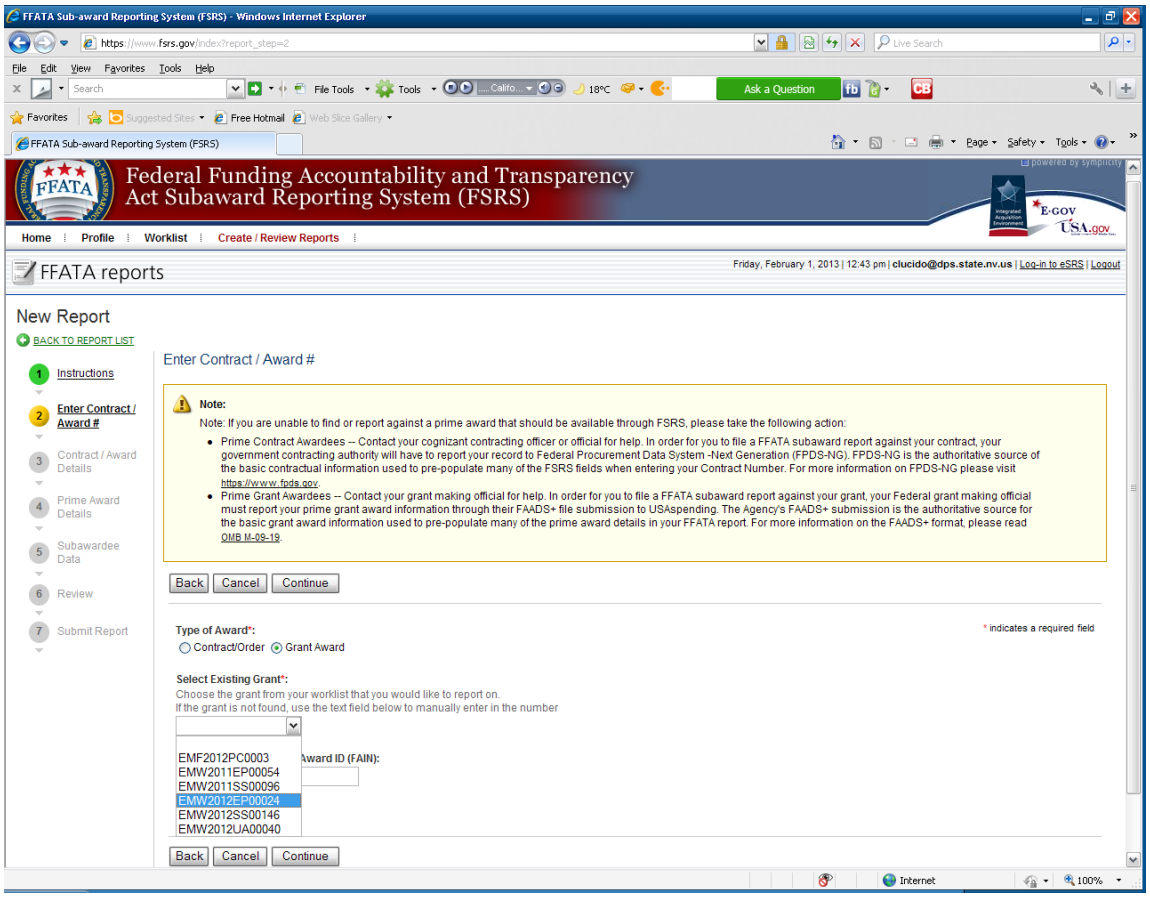


FFATA Report (MANDATORY FOR ALL GRANTS)

In order to update the USAspending.gov website to include the agency's sub-grant awards, a FFATA report must be completed and submitted for each prime award.

1) Select the **Create a New Report** Icon.
2) Select **Continue**. This screen also allows the option to Copy an existing report. This option is useful as it eliminates many steps from the initial report and can be used when an update is needed to a prime award that has already had a report submitted to USAspending.gov
3) Select **Grant Award** radio button in the Type of Award.
4) A drop-down menu of **Existing Grant** awards will appear, the list of existing grants is the same prime awards listed in the agency's worklist. If the award does not appear in this menu, it has not properly transferred into the FSRS.gov reporting site.
5) Select Continue and confirm the award selection.
6) **Grant Award Details** screen will request the user to confirm that he or she is the authorized prime awardee to report on behalf of the agency. Select Save and Continue.
7) At this juncture the agency is at the input phase of the report. Many of the screens will appear similar, special attention must be given to the stage of location you are in. This can be seen on

the left-side of the screen in the column labeled New Report. The yellow depicts what stage of completion you are currently in.

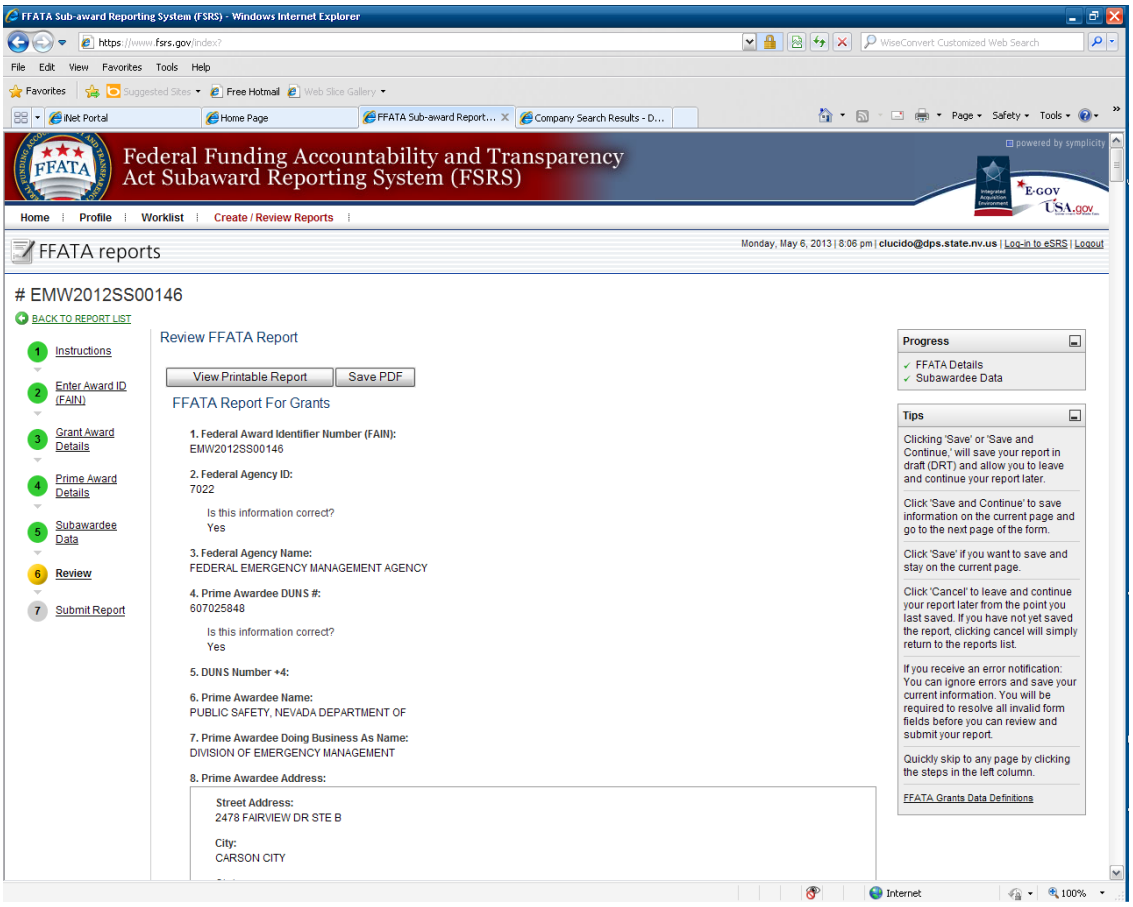


Saving Work in Progress

Many reports are large and will take several sessions to enter all data. Your work should be saved several times over the course of entering sub-grantee awards. The system allows for the user to log-out and log back in picking up where the work was left off.

Submitting Reports

Once the report is complete and the user has verified for accuracy select 'Continue'. As denoted on the left side of the screen, this is the review phase of the report entry. Review the document, select Save PDF and save the file. Once the file is saved, scroll to the end of the report and select Continue. It is important to remember that all reporting must be entered no later than the end of the month following the previous month of allocation (i.e. obligated/awarded March 18, 2013 the entry required by April 30, 2013).



The report is now ready for final submission. Please remember, once the report is submitted, the information will appear to the public on USAspending.gov. The creation of a new report will be necessary to correct any inaccurate or updated information. A PDF of each report completed is maintained in the Transparency Reporting folder.

HELP Resources for FSRS

In the event difficulty is experienced in pulling an award into the worklist there are several sources that may be able to assist: FSRS.gov help desk ASKsid@fema.dhs.gov or email USASpendingSupport@gcefederal.com or the Federal Service Desk at www.fsd.gov or FFATA compliance FEMA-GO-RCAM@fema.dhs.gov. The agency's federal point of contact may be helpful as well.

8.3 TIME & EFFORT

Charges to Federal awards for salaries and wages must be based on records that accurately reflect the work performed. These records must:

1) Be supported by an internal control system that provides reasonable assurance that charges are accurate, allowable and properly allocated;
2) Be incorporated into the official record of the agency;

3) Reflect the total activity of the employee that the agency is compensating the employee for; and
4) Support the distribution of wages among specific activities that the employee worked on;
    a. Budget estimates alone, before the activities are performed, do not qualify as support for charges to Federal awards but may be used for interim budget accounting purposes provided that:
        i. The system for establishing the estimates produces reasonable approximation of the activity actually performed;
        ii. Significant changes in corresponding work activity are identified and entered/adjusted in record in a timely manner. Short term (1 to 2 month) workload fluctuations need not be considered as long as long term distribution is reasonable over the long-term.

When records meet the above standards, the agency will not be required to provide additional documentation or support. For those that do not meet the standards, a Federal agency may require personnel activity reports that support the required standards. Substitute processes or systems for allocating salaries may be used with written approval from the agency's cognizant agency.

8.4 SINGLE FORM QUICK REFERENCE

All grants should have a single form quick reference guide (Appendix I). This form should be updated quarterly for quick reference as to the status of the grant and for reporting.

8.5 SINGLE AUDIT REPORTING FORM (SARF)

The State of Nevada Controller's Office is working to implement an on-line SARF Form. It is mandatory that all agencies submit the SARF Form manually, and will be mandatory for all agencies to comply with the SARF on-line submission reporting to ensure federal compliance and transparency of all grants. The SARF Form provides a "one-shot" look at grant incomes and expenditures and will preload some of the key fields for each agency. For more information, contact the State Controller's Office.

8.6 PROGRAM REPORTING

Progress reports are required annually as part of the non-competing continuation award process. However, the funding agency may require these reports more frequently. Progress reports must be submitted to, and approved by, the funding agency to non-competitively fund each additional budget period within a previously approved project period (competitive segment). When used in lieu of a non-competing continuation application, the progress report typically includes an updated budget in addition to other required information.

The form/format to be used and the information to be included in the progress report are specified in the NoA or in specific funding agency guidance, e.g., non-competing continuation guidance. Some funding agencies have implemented procedures for the electronic transmission of progress reports.

Progress reports must be submitted directly to the awarding office. Late submission or receipt of an incomplete grant progress report will result in delaying the issuance and funding of the non-competing continuation award and may result in a reduced award amount.

The progress report for the final budget period of a competitive segment for which a competing continuation application is submitted will be part of that application; however, if an award is not made or the recipient does not submit an application for continued support, a final progress report is required.

The funding agency will specify the requirements for progress reporting under construction grants or grants supporting both construction activities, including acquisition or modernization, and non-construction activities. In addition to the federal reporting, each agency is required to report grant expenditures by County annually (September 30, 2015) to the State Grant Office (based on federal contract periods).

The Progress Report addresses each goal and objective outlined in the original grant proposal. Additionally, consider providing the following information:

- Quantifiable accomplishments for the current performance period (e.g., a goal is to "reduce expenditures by 15%"). You might include a chart that shows the total grant award at the start of the grant, a total of the expenditures at the end of the current performance period, and the percentage difference.
- Accomplishments and various tasks that were carried out. Whenever possible, progress made on project activities should be supported by relevant documentation and/or data.
- Problems encountered that affected project progress and corrective action taken and/or planned.
- Successful and unsuccessful strategies.
- Grant objectives that need to be re-examined and/or modified.

8.6.1 QUARTERLY REPORTING

Complete and accurate reports are due no later than 30 calendar days after the ending date of each program year quarter during the active performance period.

8.6.2 SUB-RECIPIENT REPORTING

Provide reasonable procedures for ensuring that sub-recipients provide program and financial reports in sufficient time to allow preparation of required reports.

8.6.3 FINAL

The final report is due within 90 days after the project period date of the last year of the grant.

8.7 FINANCIAL

Reports of expenditures are required as documentation of the financial status of grants according to the official accounting records of the recipient. Financial or expenditure reporting is accomplished using the Financial Status Report (FSR). The FSR generally is required annually, unless otherwise indicated in the NoA. If an FSR is required annually and the award is operating under an authorized no-cost extension, an FSR must be submitted for each 12 months of activity, regardless of the overall length of the extended budget period. ***It is important to know the cumulative amount of all awards, under the CFDA and Job Number, is required to be reported.***

For some awards, in lieu of the annual FSR, the funding agency will use the quarterly Federal Cash Transactions Report (FCTR), submitted to the Payment Management System (PMS) to monitor the financial aspects of grants. The Agency may review the report for patterns of cash expenditures, including accelerated or delayed draw downs, and to assess whether performance or financial management problems exist. For these awards, an FSR generally is required only at the end of a competitive segment. It must be submitted within 90 days after the end of the competitive segment and must report on the cumulative support awarded for the entire segment. An FSR must be submitted at this time whether or not a competing continuation award is made. If no further award is made, this report will serve as the final FSR.

Before submitting FSRs, recipients must ensure that the information submitted is accurate, complete, and consistent with the recipient's accounting system. The authorized organizational representative's signature on the FSR certifies that the information in the FSR is correct and complete and that all outlays and obligations are for the purposes set forth in grant documents, and represents a claim to the Federal government. Filing a false claim may result in the imposition of civil or criminal penalties.

Reporting Errors

In some cases, the recipient may have to revise or amend a previously submitted FSR. When the revision results in a balance due to the funding agency, the recipient must submit a revised FSR whenever the overcharge is discovered, regardless of how much time has elapsed since the original due date of the report. Revised expenditure reports representing additional expenditures by the recipient that were not reported to the funding agency within the 90-day time frame may be submitted with an explanation for the revision. The explanation also should indicate why the revision is necessary and describe what action is being taken by the recipient to preclude similar situations in the future. This should be done as promptly as possible, but not later than 1 year from the due date of the original report, i.e., 15 months following the end of the budget period. If an adjustment is to be made, the awarding office will advise the recipient of actions it will take to reflect the adjustment. The funding agency will not accept any revised report received after that date and will return it to the recipient.

Overdue Reports

Failure to submit required reports within the time allowed may result in suspension or termination of an active grant, withholding a non-competing continuation award, or other enforcement actions, including withholding of payments or converting to the reimbursement method of payment. Continued failure to submit required reports may result in the imposition of special award provisions or cause other eligible projects or activities involving that recipient or the individual responsible for the delinquency to not be funded.

If at any time the recipient provides an acceptable explanation regarding the late submission of a report, the funding agency may waive the reporting requirement or set a new due date. However, once a report becomes overdue, such action will be taken by the funding agency only if the reasons for the recipient's inability to submit the report on time are legitimately beyond its control or if the purposes for which the report is to be used can be accomplished through other means. Failure to meet a new date may result in the funding agency taking action as described above.

Submission of a required report does not necessarily fulfill the recipient's obligation. Such reports must also meet the content requirements in regulations or other grant terms. Where reports need to be revised in order to be accepted, the recipient must provide a revised report by the due date indicated or immediate fund cutoff or other enforcement actions may be taken with regard to the delinquency.

Completing Reports

Each agency has a protocol for completing Fiscal Reports and these vary depending on the organizational structure. Generally, the fiscal and program staff work together to ensure that:

- Reimbursement requests (revenue) are posted for the prior quarter;
- All expenditures are allowable costs based on the relevant OMB Circular and represent reimbursement of expenditures incurred;
- Staff assigned to the grant appear in the payroll database and that payroll is accurate; and
- Expenditures are consistent with program activity and on course to be expended by the close of the grant.

Monitoring Reports

Recipients are responsible for managing the day-to-day operations of grant-supported activities using their established controls and policies, as long as they are consistent with the Federal awarding agency requirements. However, to fulfill their role in regard to the stewardship of Federal funds, funding agencies monitor their grants to identify potential problems and areas where technical assistance might be necessary. This active monitoring is accomplished through review of reports and correspondence from the recipient, audit reports, site visits, and other information available to the funding agency. The names and telephone numbers of the

individuals responsible for monitoring the programmatic and business management aspects of a project or activity will be provided to the recipient as part of the NoA.

During post-award administration, the Agency Fiscal Officer will monitor expenditures for conformance with cost policies. The monitoring includes, among other things, responding to prior-approval requests and reviewing financial reports, audit reports, and other periodic reports. The fiscal officer may use audit findings as the basis for final cost adjustments. The Project Officer's (PO) monitoring includes review of progress reports, prior-approval requests, and other correspondence (written or telephonic), and site visits.

Monitoring of a project or activity will continue for as long as the funding agency retains a financial interest in the project or activity as a result of property accountability, audit, and other requirements that may continue for a period of time after the grant is administratively closed out and the funding agency is no longer providing active grant support.

Generally, within 90 days after the end of a grant, a final report (Final Financial Report) is required to show the total expenditures of the grant by category and the balance of the grant. Any portion of the grant monies left is returned to the Awarding Agency. Most Awarding Agencies have specific Close Out procedures and timelines. Refer to the Terms and Conditions for the grant. The Close Out procedures should be reviewed and timelines noted at the beginning of the grant implementation.

Disbursement of Funds

Requests for Funds must be submitted on the Department's approved reimbursement form and are required to be submitted within 30 days after the end of each month. Deviation from the monthly reimbursement schedule may be possible but only with prior approval from the Agency Fiscal Officer. The Request for Funds must be completed in full. Questionable costs, incomplete fields, missing documentation or mathematical inaccuracies will result in a delay of funds being issued and the Request for Funds may be returned to the Grantee for corrections.

Generally the requirements set forth below should be followed; Grantees should refer to their signed contract and Program Requirements for specifics. Funds will be reimbursed on a monthly or quarterly basis and should refer to the specific grant guidelines and program requirements set forth in the grantees signed contract.

Request for Funds

Documentation supporting the Request for Funds (RFF) must be submitted along with the request in the form of a detailed transaction list, by budget expense category. The transaction list may be in the form of an Excel spreadsheet if the Grantee does not have an accounting software package that generates a transaction list. The detailed transaction list MUST reconcile completely to the Request for Funds. It is the Grantee's responsibility to include appropriate subtotals and totals on the transaction list to demonstrate that it does, in fact, reconcile

completely to the Request for Funds. The transaction list and supporting documents must be kept on file for review at the time of the Department's fiscal monitoring. In addition to receipt/invoices for each expense requested, the detailed transaction list must include, at a minimum:

- Every single item the Grantee is asking to be reimbursed for by expense category;
- Check number or other transaction identifier;
- Date of payment;
- Payee, and
- Amount of payment.

Where applicable, the following information must also be included on the transaction list:

a) If an expense on the transaction list is not charged to the grant in its entirety, the Grantee must include a notation listing the amount charged to the grant.
b) If reimbursement is requested for the purchase of gift cards, gift certificates, bus passes, and other like items, the corresponding log must be attached to the RFF.
c) If the Grantee received a rebate or credit associated with an expense charged to the grant, the amount must be included on the transaction list and deducted from the reimbursement request.
d) More detail may be required at the discretion of the agency.

Fee-For-Service Budgets

For fee-for-service budgets, documentation supporting the units of service provided during the reimbursement period does not need to be submitted along with the Request for Funds. However, documentation does need to be maintained for review during site visits and program monitoring by staff. Specific documentation will depend on the kind of service provided and will be determined by the Department prior to submission of the first Request for Funds. Grantees will be reimbursed on a fee-for-service basis only if the budget was submitted and approved as a fee-for-service budget prior to the start of the fiscal year. Problem Gambling Treatment Grantees should refer to the Nevada Treatment Strategic Plan for more details on fee-for-service reimbursement.

8.7.1 Expenditure Reconciling

The Federal government reconciles amounts paid with expenditures. It evaluates the sufficiency of activities under the grant and identifies unobligated balances, disallowed costs and amounts potentially subject to collection.

8.7.2 Draw-downs

Recipients draw down funds as necessary through the appropriate Payment Management System (PMS) web-based portal (such as the DHHS PMS System). Grant payments may be made

by one of several advance payment methods or by cash request on a reimbursement basis. If the case request is for an advance payment, the recipient may request funds monthly on the basis of expected disbursements during the succeeding month and the amount of Federal funds already on hand. A request for reimbursement may be submitted more often, if authorized.

Federal funds advanced to the recipient should be fully disbursed (checks written, signed, and issued to the payees) by the close of business the next work day after receipt of the funds. Recipients must submit the required FFR/SF-425 report in a timely manner. The FFR submitted through the PMS monitors the timing of cash advances and disbursements and is submitted quarterly.

9 PASS-THROUGH SUB-RECIPIENT AWARDS

Pass-through entity means a non-Federal entity that provides a sub-award to a sub-recipient to carry out part of a Federal program. State Agencies are required to use a written grant agreement (sub-recipient agreement) for all grants made by the agency. It is essential to write clear duties and expectations of the grantee into the grant contract. Careful drafting ensures that the parties to the grant have achieved an understanding and have mutually agreed on the terms of the grant agreement, such as duties, quality of performance, time of performance, and terms of payment. Careful drafting avoids future disputes, which are costly and waste valuable resources. *(Example(s) of Sub-recipient agreement Appendix F).*

An ambiguous grant agreement may result in failure to obtain the services the agency assumed were contained in the sub-grant. Agencies may find it difficult to require grantees to perform duties that are not clearly and specifically stated. Ambiguous sub-grant agreements lead to amendments that are used to clarify items that should have been in the original grant. The written grant agreement is generally the only item relevant in a dispute over whether the grantee has fulfilled his promises.

In a legal action, any ambiguity will be interpreted against either party in the more powerful position; in most cases the agency, so a provision that can be interpreted against the agency most likely will be. Verbal approval must be followed in written form to ensure that the agreement will be supported. Generally, if it is not written in the sub-grant agreement, it is not enforceable.

9.7 SUB-RECIPIENT AND CONTRACTOR (VENDOR) DETERMINATION

U.S. Office of Management and Budget (OMB) Circular A-133 requires grant-awarding entities to determine whether an arrangement resulting from a particular award that the awarding entity makes to another organization creates a sub-recipient or vendor relationship between the awarding entity and that organization. The OMB defines the terms “contractor”, “vendor”, and “sub-recipient”, and provides guidance for distinguishing between the relationships. The information below expands on the guidance provided by OMB.

	SUBRECIPIENT	CONTRACTOR
◆ The substance of the relationship is the most important factor	Programmatic decision-making responsibilities	Provides goods & services as part of normal business
◆ The relationship should determine the mechanism	Performance is measured against program objectives	Goods & services are ancillary to programmatic activities
	Responsible for federal compliance requirements	Operates in a competitive environment
	Mechanism = Sub-award	**Mechanism = Purchase Order**

General distinctions:

The accurate classification of sub-recipients and vendors is critical to a program's success and integrity. OMB requires sub-recipients (other than for-profit sub-recipients) that meet established expenditure thresholds to obtain a Single Audit. A Single Audit includes a financial audit as well as compliance testing. While for-profit sub-recipients are exempt from Single Audit requirements, they are not exempt from compliance requirements or from other audit or monitoring requirements that a program statute or the resulting agreement requires in order to verify the for-profit sub-recipient's compliance with applicable program requirements.

Contractors (vendors), on the other hand, are generally not subject to the same level of scrutiny or requirements. The higher level of scrutiny given to sub-recipients reflects the significance of their role to carry out a program, as opposed to contractors that support the program but generally do not make decisions or take actions that impact a program's overall success or failure. Therefore, program compliance requirements are generally not passed through to vendors; however, if a vendor transaction is structured so as to make the vendor responsible for program compliance, the vendor's records must be reviewed to verify compliance.

It is important that accurate classifications be made early in the purchasing process. Early determination facilitates the request and consideration of appropriate information during the selection process, and impacts whether the resulting agreement includes appropriate terms and conditions that require compliance with program requirements. The responsibilities contracted to an organization ultimately affect the level of oversight that needs to occur by the awarding entity in order to best manage risks that impact a program's integrity and overall success.

As with the characteristics identified by OMB, the examples provided here are not intended for use as a checklist or to replace the need for professional judgment and separate consideration of each arrangement on its own merits.

A sub-recipient:

1) Determines who is eligible to receive financial assistance, and which specific type of federal assistance is to be distributed. For example:
    a. Organization determines whether a potential customer meets a program's eligibility requirements for assistance under that program.
2) Has its performance measured against whether it meets the objectives of the program? For example:
    a. Awarding entity holds the organization responsible for meeting performance targets that are tied to program objectives.
    b. Awarding entity holds the organization responsible for meeting expenditure targets to maximize the use of program funding.
    c. Awarding entity requires organization to submit regular oral or written progress reports and/or explanations of variance relating to program objectives and/or fund maximization.
    d. Awarding entity may sanction the organization if program objectives are not met.
    e. Organization must submit a comprehensive closeout package at the end of the agreement.
3) Has responsibility for programmatic decision making. For example:
    a. Organization has latitude to make decisions within terms of agreement.
    b. Organization makes policy decisions governing how it carries out a program.
    c. Organization makes operational decisions governing how it carries out a program.
    d. Organization makes decisions regarding the appropriate assistance for a particular customer.
4) Has responsibility for adherence to applicable program requirements. For example:
    a. Awarding entity holds the organization responsible for compliance with applicable program statutes, regulations, rules, policies (including local policies) and guidance.
    b. Organization receives technical assistance or training from the awarding entity relating to program requirements.
    c. Awarding entity monitors the organization for compliance with applicable program requirements.
5) Uses the funds to carry out a program of the organization as compared to providing goods or services for a program of the awarding entity. For example:
    a. Organization performs all or a portion of the scope of work or objectives of the award received by the awarding entity.
    b. Organization's role requires more than dealing, distributing or selling goods or services that support a program.
    c. Awarding entity identifies the organization's programmatic involvement as a separate scope of work and budget that must be approved by the awarding entity.

A vendor:

1) Provides the goods and services within normal business operations. For example:
    a. Organization exists for the purpose of providing a particular goods or services.
    b. Organization receives little, if any, instruction from the awarding entity as to how the organization goes about producing the goods or services.
    c. Organization generally receives payment after delivery of a particular good or service.
    d. Organization invoices awarding entity in the organization's normal way and is not required to submit a comprehensive closeout package at the end of the agreement.
    e. Organization assumes the risk if cost of performance increases or requires more time than expected.
    f. Organization has its performance measured against whether it meets specific deliverables, rather than a program's performance outcomes.
2) Provides similar goods or services to many different entities. For example:
    a. Organization provides similar goods or services to a number of entities in addition to the awarding entity.
    b. Services provided are of a repetitive nature.
    c. Goods provided are commonly available.
3) Operates in a competitive environment. For example:
    a. Organization competes with other organizations to provide a similar good or service.
4) Provides goods and services that are ancillary to the operation of the program. For example:
    a. Organization aids or supports the program in a subsidiary capacity.
    b. Organization provides a good or service (in a manner that does not create a sub-recipient relationship) which enables the awarding entity to carry out a program.
    c. Organization provides a particular good or service that enables the awarding entity to operate, e.g. office supplies, janitorial services, equipment, staff development, printing, travel, etc.

9.8 REQUIREMENTS FOR SUB-RECIPIENT PROGRAMS

Each State Agency, as a federal grantee, is responsible for managing the day-to-day operations of grant and sub-recipient activities and ascertaining that all fiscal, compliance and programmatic responsibilities are fulfilled. This responsibility includes monitoring sub-recipient reporting, record-keeping and internal operation and accounting control systems. Grant management and compliance ensures that the grant program is operating efficiently, its internal control program is operating successfully and any deficiencies detected are corrected in a timely manner.

State, Local, Tribal and Non-Government Organization sub-recipients are monitored in order to protect the integrity of Federal dollars that is passed through to agencies for the implementation of the State of Nevada's strategic goals and priorities, and to determine whether grant funds are being obligated and expended in accordance with State and Federal guidelines.

Sub-Grantees must be selected through a competitive process. Grants are Contracts and per federal and state regulation, must go through the RFP Process, if not specifically identified in the grant application. If only one award is being granted, provide the provisions of the sole source award in the NOFA. A sub-award is used when a significant portion of a project/mission is performed by another entity (i.e., providing counseling services to the target population). The relationship between the sub-grantee and the Agency is one of assistance in meeting project goals. Often several sub-grantees are selected.

The sub-award process does not follow the rules and regulations for state procurement; therefore, is not required to go through the Agency's procurement office. The process and selection is performed by the unit within the Agency that is the primary awardee. An explanation of a sub-award NOFA is below.

Before selecting a sub-grantee, the Agency should check the federal Excluded Parties List System at www.epls.gov to determine whether or not the potential sub-grantee has been suspended or disbarred from receiving federal funds.

As a general principle, grants distributed by an agency should be done in a fair and equitable manner, which is usually done through some form of public notice. Each state agency may differ in how it notifies the public and solicits requests for proposals (RFP), but the agency should have a defined process that ensures a fair and equitable distribution. Competitive grant opportunities shall be publicized as broadly as possible and at a minimum, must be posted on the granting agency's website. If by the scope, the grant is required to be developed through a RFP, agencies must refer to the State Purchasing requirements in the SAM, Section0338; and include:

- State the funding authority for the grant.
- State any specific requirements from the state or federal pass-through.
- Clearly identify the objectives and work product of the grant.
- Clearly state the grant selection/evaluation criteria.
- Request a report from the grantee on other grants it has received from other state agencies. This way the evaluation panel may obtain information on the past performance of the applicant. Be prepared to verify information received from the grantees, such as verifying matching funds claimed by the grantee.
- Indicate to whom the applications should be submitted.
- State the application deadline.

9.2.1 General Evaluation Criteria

State Grant Applications should be reviewed by their Deputy Attorney General. In addition, the review team shall consist of qualified staff, including project staff, program staff and others as appropriate or required. It is always recommended to have an outside reviewer. All reviewers will be reminded that they may not participate in any reviews in which they have a conflict of interest or which gives the appearance of a conflict of interest. The reviewer shall have a clear understanding of the purpose of the RFP and the types of projects to be funded. The Agency will be required to maintain supporting documentation of the competitive selection process.

9.2.2 Evaluation Criteria for Competitive Awards

For competitive awards, objective criteria shall be outlined in the grant application guidelines and followed by staff during the review process and used in rating each application for funding. Criteria shall normally include:

1. Project Summary/Statement of Work/Summary of need's responsiveness to purpose of the agency;
2. Eligibility qualifications;
3. Applicants capacity to carry out the grant;
4. Personnel qualifications (i.e. resume diploma, curriculum vitae, etc.);
5. Planned or actual program design;
6. Available facilities;
7. Budget amount.

Cost effectiveness and the relationship of the proposed budget to program objectives must be considered in the evaluation of all applications.

9.2.3 Scoring

A standard scoring tool shall be used by each reviewer, during their ***independent review*** of the applications. The scoring tool should be tailored to the agency being reviewed and guide the reviewer on the criteria upon which their evaluation must be based. It is recommended that the priorities of the scoring applications be identified and included on the standard scoring tool. An individual outside of the review process, will be used to tabulate the scores for the applications**. The application receiving the highest score will be awarded a grant**.

For multi-award grants, the agency shall ***pre-determine the number of awards to be granted and the minimum score acceptable.*** The highest scoring applications within the established multi-award number will receive a grant. Each agency reserves the right to discard all applications and make no award, but does not reserve the right to "pick and choose." In the event of a tie, the Director maintains authority to determine the tie breaking process.

No changes will be allowed to the application scoring at any point of the process. However, the highest ranking applications can be invited to present their plans as part of an additional process. This must be identified prior to the review of the grant application and noticed to the applicants. This can include a public presentation, with each reviewer (independently at the public presentation), ranking each high ranking applicant for funding. For an example of how this would work, please reference the State Homeland Security Commission.

Discussions for Clarification: Applicants may be required to make an oral or written clarification of their proposals to an agency to ensure thorough mutual understanding and applicant responsiveness to the RFP requirements. Clarifications may occur at any stage of the evaluation and selection process prior to agreement execution. All information must be documented.

9.2.4 Notification for Restricted and Sole Source Grants

Grants awarded to statutorily mandated recipients will be processed according to policies and procedures governing the program area. Recipients will be notified by letter.

9.2.5 Notification for Competitive Grants

Each applicant shall be notified in writing within 30 days after the decision is made of the approval or disapproval of the grant application. The initial award letter shall contain language that specifies that "[T]he State of Nevada cannot be held accountable for any costs incurred by the grantee prior to execution of the Grant Agreement by all necessary Commonwealth signatories." The start date of the Grant Agreement will be placed on the Grant Agreement after all required signatures have been obtained. Each applicant whose application is disapproved will be notified in writing and provided the opportunity by the Agency or request a Debriefing conference. The purpose of this conference is to identify for the applicant the strengths and weaknesses in their application proposal.

9.2.6 Sub-grant Agreement

The awarding state agency will issue a Notice of Grant Award (NGA) to a grantee that makes program or planning funds available. The NGA is included in an award packet that contains a cooperative agreement or grant agreement, the most relevant federal provisions, and the approved allocation. The cooperative agreement or grant agreement is a legally binding contract that binds the grantee to the award notice, approved grant/budget, and the provisions. Awards are not legally valid until a signed cooperative/grant agreement is received by the agency. The agency must ensure that the NGA contains the following information:

- Name, address, telephone number, and email address of the granting State agency's point of contact;

- Grant or sub-grant number assigned by the State agency;
- Catalogue of Federal Domestic Assistance (CFDA) number if the funding is from a federal grant;
- Beginning and ending dates of the award;
- Name, title, address, and telephone number of the official point of contact for the grantee;
- Grantee's federal tax identification number or Employers Identification Number (EIN), Dun and Bradstreet Universal Numbering System (DUNS) number, and proof of Central Contractors Registration (CCR) if funding is from a federal grant;
- Amount of funds awarded and the amount of any financial or in-kind matching resources, if any, that the grantee must contribute;
- Signature lines for the authorized representatives from the Agency and grantee;
- Language incorporating the original application for funding by reference; and
- Changes from time of application to time of award.
-

All Agreements should have a clause that continued and/or initial funding is contingent upon IFC approval and allocation and congressional approval and allocation to the state.

The sub-award NOFA, which explains the project and lists information necessary to apply for a grant, should include:

- Prime awardee name (i.e., State Agency);
- Name of grant program;
- Catalog of Federal Domestic Assistance (CFDA) number;
- State Agency contact name and contact information;
- Eligibility criteria;
- Statement of Work (SOW) that includes relevant goals of project, reporting requirements, project terms;
- Target population;
- Maximum award amount;
- Application/proposal content and formatting requirements including any State or federally mandated forms and requirements;
- Submissions deadlines and instructions (make sure to include a time);
- List of applicable federal regulations and their location in the OMB Circulars;
- Uniform Administrative Requirements (A-102, A110);
- Cost Principles (A-21, A-87, A-122);
- Single Audit Compliance Requirements (A-133).

And include statements similar to:

- The Grantee organization assumes full responsibility for the overall program which includes: fiscal administration, timely submission of required reports, program management including personnel, and meeting the goals and objectives in the approved grant application.

- The Grantee shall maintain effective control and accountability for all grant funds, property, and other assets. Good internal control necessitates that fiscal responsibilities be clearly established. Accounting functions should be separated to the fullest extent possible so that no one person authorizes, executes, and approves the same transactions. Policies covering personnel and accounting procedures and separation of duties must be documented in a policies and procedures manual or other similar document.

- The documentation for all transactions, controls and other significant events must be clear and readily available for examination. All documentation such as invoices, contracts, sub-grant awards, etc., should be maintained at the Grantee's principal place of business. If they are not, the Grantee must bear the cost of making original documents available for examination by the State.

- The Grantee must maintain continuing responsibility for the overall program. This includes the establishment of written policies and procedures for program operations. The following areas must not be delegated to sub-recipients or persons who are not employees or officials of the Grantee organization:

  - Being informed of and accountable for all program income and expenditures;
  - Performance of timely written evaluations of the program, and monitoring of established goals and objectives as written in the program's grant award;
  - Financial reports and all other reports required by the Department including monthly Requests for Funds, required quarterly progress reports and final program reports (as applicable);
  - Administration of the program in accordance with each agencies administrative practice.

- If the Grantee decides to establish a policy-making body (or is required either by law or by funding source to establish such a body), its role and responsibilities must be clearly defined. This must be approved by the Department Director.

- Any activities that deviate from the scope of work/goals and objectives identified in the grant agreement must receive prior written approval from the Grant Manager and may require a written amendment to the grant agreement.

- Grantees must notify the Grant Manager immediately regarding any legal action or negative publicity related to grant-funded events, activities, services, purchases, or outreach.

- All instructions, requirements, rules and regulations for grants administered through the Grantee are applicable to sub-awards, mini-grants, contracts or other mechanisms passing on these funds. It is the responsibility of the Grantee to ensure compliance of sub-recipients

through monitoring, reporting, site visits, fiscal reviews or other means. The Department may implement probationary measures with the Grantee for noncompliance on the part of the sub-recipients

- No organization may participate in the grant-funded project in any capacity or be a recipient of Federal or State funds designated for this project if the organization has been debarred or suspended or otherwise found to be ineligible for participation in Federal assistance programs under Executive Order 12549, "Debarment and Suspension" (see 45 CFR 92.35). Prior to issuing sub-awards or contracts under this grant, the Grantee must consult the Excluded Parties List System to ensure that organizations under funding consideration are not ineligible. The list may be accessed online through the System for Award Management (SAM) at https://www.sam.gov/portal/public/SAM/.

- Decisions made by Grant Managers must be based on the grant agreements, approved budgets, grant assurances, written program policies and procedures, and written fiscal policies and procedures including those in the State Administrative Manual (SAM) and in any Federal OMB circulars or other Federal or state regulations and guidance that apply to the funding source. If a Grantee disagrees with a decision, the Grantee has the option to dispute the decision by taking the following steps:

    - Request in writing that the Grant Manager provide the specific documentation upon which a decision is based. Written response will be made within seven (7) working days.
    - Follow the policies of each agency.
    - If the disagreement is still unresolved, request in writing that the matter be reviewed by the Department Director, whose decision will be final and will not be open to further discussion or challenge.

- All interactions will be conducted with honesty, courtesy, and respect. It is essential that a professional relationship be maintained in order to properly administer the grant and provide effective services in the community.

- Conduct that interferes with the administration of the grant or negatively impacts the ability to provide effective program services may result in termination of the grant after the Department carefully reviews the circumstances.

- Timeliness of report submission will be tracked and noted in the grant file. Any extensions or exceptions to requirements must also be noted in the grant file.

9.2.7 Sub-grant Amendments

An Amendment is a significant change in the Grant Agreement requiring approval of all original parties' signatures. Reasons for an Amendment are the following: expansion or revision to the target population, revision to the purpose/intent of the project, change in the designated grantee, significant revisions to the methodology, and a significant increase to the budget which exceeds the total potential Grant Agreement award. These types of Amendments require the Grantee to submit to each Agency a revised narrative and revised budget, if applicable. Agencies will review the original and revised narrative and/or budget. Upon approval, a fully executed grant amendment and a letter authorizing the modifications will be issued. These documents will include the terms and conditions relating to the modification of the award. All grantees must adhere to the terms and conditions of the initial grant agreement.

In order for a grantee to move funds between budget line items or to add additional line items to a budget, a grantee must submit a Budget Revision Request. All Budget Revision Requests are subject to each Agency review and approval. If approved, the approved BRR form will be attached to and become part of the Grant Agreement.

In order to increase or decrease the grant award within the total potential Grant Agreement award, a formal Funding Adjustment must be approved by each Agency and the Comptroller's Office by means of the Funding Adjustment form, and an approved Budget Revision Request form outlining the changes. The approved Funding Adjustment and BRR form will be attached to and become part of the Grant Agreement.

9.2.8 Sub-Recipient Monitoring (required)

Each State Agency, as a federal grantee, is responsible for managing the day-to-day operations of grant and sub-recipient activities and ascertaining that all fiscal, compliance and programmatic responsibilities are fulfilled. This responsibility includes monitoring sub-recipient reporting, record-keeping and internal operation and accounting control systems. Grant management and compliance ensures that the grant program is operating efficiently, its internal control program is operating successfully and any deficiencies detected are corrected in a timely manner.

State, Local, Tribal and Non-Government Organization sub-recipients are monitored in order to protect the integrity of Federal dollars that is passed through to agencies for the implementation of the State of Nevada's strategic goals and priorities, and to determine whether planning, equipment, exercise and training grant funds are being obligated and expended in accordance with State and Federal guidelines. Monitoring provides a comprehensive picture of how preparedness, prevention, response, mitigation and recovery capabilities are increasing statewide. It allows the State of Nevada to ensure it is providing available resources and support to our community partners in an efficient and effective manner.

TYPE OF MONITORING:

Office-Based Monitoring

For risk-based grant programs, the Agency conducts office-based monitoring which reviews sub-recipients. Office-based monitoring occurs continually throughout the year by the program manager and their assigned staff. By combining efforts, the grant program manager and staff review proposals, budget submissions, invoices, expenditure requests and fiscal and programmatic quarterly/monthly reporting.

Site Visit Monitoring

The Agency conducts on-site monitoring of sub-recipients each fiscal year. The number of site visits may vary from funding program and is sensitive to the amount of resources available to conduct on-site monitoring as well as other duties as assigned. Site visit monitoring will be conducted for a variety of reasons, including:

- Periodic routine review of sub-recipient projects;
- Review of specific items of interest;
- Response to perceived problems or issues;
- Response to financial audit or programmatic monitoring exceptions;
- Response to requests for assistance.

Agencies typically utilize a combination of monitoring techniques to effectively monitor their grantees. The following are various examples of how an agency may monitor performance.

- Obtain and review third party certifications indicating that the work is satisfactorily completed.
- Perform site visits using a fiscal/program management checklist as a tool to ensure the grantee's contract compliance.
- Attend grantee board meetings.
- Conduct telephone interviews with grantee program staff and document desk monitoring findings on a checklist or write a report.

Contract Review
Sub-grantees shall adhere to purchasing rules set out in chapter 332 of the Nevada Revised Statutes.

1. If the estimated annual amount required to perform the contract is more than $25,000, but not more than $50,000, sub grantees shall document competitive negotiations. *(Please use the Competitive Negotiation and Small Purchases Contracting Documentation form on the Purchasing Website.)*

2. Contracts for more than $50,000 shall be advertised for bid in a general circulation newspaper within the county of the project.

3. If you believe a sole-source situation exists, that conviction must be demonstrated to the satisfaction of Agency Fiscal Agent, and State Purchasing. All sole-source contracts must have prior approval.

Monitoring is completed in compliance with all Federal and State Assurances and Certifications.

9.2.9 Suspension & Disbarment Information

All agencies are required to review the federal suspension and disbarment information prior to issuing any sub-grant awards. If the federal suspension or disbarment is in effect, it applies to all State agencies. This information can be found at https://oig.hhs.gov/exclusions *(Office of the Inspector General);* www.sam.gov/portal/SAM/ #1; or the Nevada Exclusions and Sanctions List through Medicaid.

9.2.10 Corrective Actions

If State or a Sub-grantee does not meet expectations, the agency (or funder) may require a Corrective Action Plan, apply special award conditions, place the Grantee on probation, or terminate the grant. This section describes the reasons, consequences, and process associated with each corrective action. In each case, enforcement of the appropriate consequences is at the discretion of the department administrator or their designee. Any level of corrective action may be applied at any time; options may not be applied sequentially. The Grant Office must be provided any federal grant letter of corrective action as each corrective action has an impact on federal funds statewide.

A) Corrective Action Plans are generally used when deficiencies are identified as a result of program or fiscal monitoring. However, the Department reserves the right to impose this option under other circumstances if the need arises. Failure to complete the Corrective Action Plan may result in special award conditions, probation, or termination as described in this section.

B) *In some instances using Special Conditions in a sub-grant award are necessary.* Special Award conditions may include, but are not limited to:

- Additional Reporting;
- Additional Backup documentation;
- Audit / Site Visit.

C) *Probation is typically used when the sub-grantee is:*

- Unwilling or inability to comply with special conditions and requirements;
- Non-compliance with Federal or State rules and regulations;
- Non-compliance with the State procedures and policies;
- Inability or unwillingness to properly manage the program;
- Non-compliance with the approved grant application terms and conditions;
- Non-submission of required reporting or failure to submit reports in a timely manner;
- Significant findings by an independent auditor that affect the programs funded by the Department and/or classification as high-risk by an independent audit;
- Non-compliance with applicable OMB circulars;
- Classification by the Department as high risk with no significant improvement to correct deficiencies.

D) *Grants may be involuntary terminated in accordance with the sub-grant agreement at any time during the grant year.* Reasons include, but are not limited to:

- Unwillingness or inability to comply with special award conditions and requirements;
- Unwillingness or inability to meet the terms of probation;
- Conduct that interferes with the administration of the grant or negatively impacts the ability to provide effective program services;
- Illegal activity of any kind;
- Insolvency;
- Failure to disclose a conflict of interest;
- Influence by a gratuity;
- Any violations of the terms of the grant agreement;
- Substantiated fraud, abuse, or misappropriation of grant funds.

E) *Consequences of involuntary termination:*

- Repayment to the State of any outstanding advance.
- Non-reimbursement for any grant-related expenses incurred after the termination effective date.

- Transfer or liquidation of all equipment and non-consumables purchased with grant funds during the grant period (including equipment with an original purchase price of $1,000 or more, all computers and software regardless of original purchase price, and any other items the State has required the Grantee to inventory during the course of the grant).
- Surrender of any and all documents related to the grant that the State deems necessary.
- Repayment to the State of all grant funds found to be unallowable costs.

CLOSE-OUT

10 AUDIT REQUIREMENTS

In determining the relevant standards for the conduct of grant operations, monitoring and auditing purposes, Agency personnel will consider the following in precedential order:

TOP TEN AUDIT FINDINGS

1. ***Untimely Submission of Reports;***
2. ***Lack of Documentation;***
3. ***Inadequate Monitoring of Sub-recipients or Contractors;***
4. ***Inadequate Time and Effort Records;***
5. ***Inaccurate Reports;***
6. ***Comingling of Funds;***
7. ***Excess Cash on Hand;***
8. ***Unallowable Costs;***
9. ***Inappropriate Changes; and***
10. ***Conflicts of Interest.***

10.1 SUB-RECIPIENT SINGLE AUDIT REVIEW & MANAGEMENT DECISION LETTERS (REQUIRED)

Audits, whether they are internal, external or contracted, are simply another action as a result of accepting federal grant dollars. 2 CFR Part 200.501 requires non-federal entities that expend more than $750,000 (for fiscal years beginning after 12/26/2014) of federal funds in their fiscal year must have a single audit conducted by qualified individuals who are organizationally, personally, and externally independent from those who authorize the expenditure of Federal funds, to ensure that there is no conflict of interest or appearance of conflict of interest.

The review of the single audits performed by independent companies is a critical first step in identifying potential programmatic or fiscal weaknesses. Single audits are an objective review of an agencies administrative and financial performance on federally funded programs. Reviewing the single audit findings will assist with determining a sub-grantee's risk.

Each sub-grantee must forward their Annual Single Audit for review. Each agency must review their sub-grantee's single audits and make a 'management decision' based on the findings. A management decision on audit findings must be issued within 6 months of the receipt of a sub-recipients single audit report. Additional information or documentation may be requested from the sub-grantee, including a request for auditor assurance related to the documentation, as a way of mitigating disallowed costs.

The management decision will clearly state whether or not the audit finding is sustained, the reasons for the decision, and the expected auditee action to repay disallowed costs, make financial adjustments, or take other action. The decision will include corrective actions as appropriate, and will be closed upon satisfactory completion of the sub-recipient's corrective action. In addition to our requests, the decision will include the appeal process should the auditee decide to appeal the decision.

10.2 FEDERAL AWARD AUDIT & CLOSE OUT

The Federal awarding agency or pass-through entity will close-out the Federal award when it determines that all applicable administrative actions and all required work of the Federal award have been completed by the non-Federal entity.

This section specifies the actions the non-Federal entity and Federal awarding agency or pass-through entity must take to complete this process at the end of the period of performance.

a) The non-Federal entity must submit, no later than 90 calendar days after the end date of the period of performance, all financial, performance, and other reports as required by the terms and conditions of the Federal award. The Federal awarding agency or pass-through entity may approve extensions when requested by the non-Federal entity.

b) Unless the Federal awarding agency or pass-through entity authorizes an extension, a non-Federal entity must liquidate all obligations incurred under the Federal award not later than 90 calendar days after the end date of the prior of performance as specified in the terms and conditions of the Federal award.

c) The Federal awarding agency or pass-through entity must make prompt payments to the non-Federal entity for allowable reimbursable costs under the Federal award being closed out.

d) The non-Federal entity must promptly refund any balances of unobligated cash that the Federal awarding agency or pass-through entity paid in advance or paid and that are not authorized to be retained by the non-Federal entity for use in other projects. See OMB Circular A-129 and see §200.345 Collection of amounts due, for requirements regarding unreturned amounts that become delinquent debts.

e) Consistent with the terms and conditions of the Federal award, the Federal awarding agency or pass-through entity must make a settlement for any upward or downward adjustments to the Federal share of costs after closeout reports are received.

f) The non-Federal entity must account for any real and personal property acquired with Federal funds or received from the Federal Government in accordance with 2 CFR

§200.310 Insurance coverage through 200.316 Property trust relationship and 200.329 Reporting on real property.

g) The Federal awarding agency or pass-through entity should complete all closeout actions for Federal awards no later than one year after receipt and acceptance of all required final reports.

11 RECORD RETENTION & ACCESS

All grant files must be retained at the conclusion of the grant activity for a period of not less than three years (3) after the conclusion of the grant period including any audit and resolution of audit findings. Each Agency has a Records Retention Schedule for their respective divisions/units.

Financial records, supporting documents, statistical records, and all other records pertinent to a grant agreement (whether in electronic or hard copy form) must be retained in accordance with agency guidelines or other applicable retention rules, or for a minimum of three years from the date of the submission of the final expenditures report. If no litigation, claims, or audits are pending that involved project records, Grantee staff may dispose of materials three or more years subsequent to the submission of the final expenditures or financial status reports. If any litigation, claim, or audit is started before the end of the three-year period, then all pertinent documents must be retained until all actions involving the records have been resolved.

During the three-year retention period or any extended period resulting from litigation, claims, or audits, the Director of the Department or Agency or the Department's duly authorized representatives shall have access to any pertinent books, documents, papers, or records of Grantees to review audits, examinations, excerpts, and transcripts.

APPENDIX: A
EXAMPLE OF A 424 FORM

Helpful Hint: Do not complete any sections that are not defined as mandatory – in red *(unless you just want to do more work).*

OMB Number: 4040-0001
Expiration Date: 06/30/2011

APPLICATION FOR FEDERAL ASSISTANCE
SF 424 (R&R)

3. DATE RECEIVED BY STATE | **State Application Identifier**

1. * TYPE OF SUBMISSION
☐ Pre-application ☐ Application ☐ Changed/Corrected Application

4. a. Federal Identifier
b. Agency Routing Identifier

2. DATE SUBMITTED | **Applicant Identifier**

5. APPLICANT INFORMATION *** Organizational DUNS:**
* Legal Name:
Department: Division:
* Street1:
Street2:
* City: County / Parish:
* State: Province:
* Country: USA: UNITED STATES * ZIP / Postal Code:

Person to be contacted on matters involving this application
Prefix: * First Name: Middle Name:
* Last Name: Suffix:
* Phone Number: Fax Number:
Email:

6. * EMPLOYER IDENTIFICATION *(EIN) or (TIN):*

7. * TYPE OF APPLICANT: Please select one of the following
Other (Specify):
Small Business Organization Type ☐ Women Owned ☐ Socially and Economically Disadvantaged

8. * TYPE OF APPLICATION:
☐ New ☐ Resubmission
☐ Renewal ☐ Continuation ☐ Revision

If Revision, mark appropriate box(es).
☐ A. Increase Award ☐ B. Decrease Award ☐ C. Increase Duration ☐ D. Decrease Duration
☐ E. Other (specify):

* Is this application being submitted to other agencies? Yes ☐ No ☐ What other Agencies?

9. * NAME OF FEDERAL AGENCY: National Institutes of Health Stage

10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER:
TITLE:

11. * DESCRIPTIVE TITLE OF APPLICANT'S PROJECT:

12. PROPOSED PROJECT:
* Start Date * Ending Date

*** 13. CONGRESSIONAL DISTRICT OF APPLICANT**

14. PROJECT DIRECTOR/PRINCIPAL INVESTIGATOR CONTACT INFORMATION
Prefix: * First Name: Middle Name:
* Last Name: Suffix:
Position/Title:
* Organization Name:
Department: Division:
* Street1:
Street2:
* City: County / Parish:
* State: Province:
* Country: USA: UNITED STATES * ZIP / Postal Code:
* Phone Number: Fax Number:
* Email:

APPENDICES: B
EXAMPLES OF SUCCESSFUL LOGIC MODELS

The Richard Steele Foundation Breaking the Cycle (BTC) Logic Model

(November 2014)

Overarching Goal: **Empower youth to build healthy interpersonal skill, habits and relationships for successful future outcomes.**

PRIORITIES	INPUTS	OUTPUTS		OUTCOMES		IMPACT
		Activities	Participation	Short Term Initial / Immediate	Medium Term Intermediate (1-2 yrs)	Long Term Future (2-4 yrs)
The rationale for doing this	What are our resources?	What we do	Who we reach	Are often about learning	Are often about action	Are often about conditions
To provide youth and their guardians tools to assist them in overcoming the challenges and obstacles faced by at-risk teen pregnancy or parenting teens, aging out of foster care, struggling academically, domestic violence, mental or physical disabilities, homelessness, substance abuse and those with criminal behaviors.	Qualified & Skilled Staff Case Management Life Skill Coaches Alcohol & Drug Treatment Behavior Health Therapist Psychologist Internal Partnerships Community Sponsorships	Academic Counseling Life Skill Programs Health & Wellness Activities Behavioral Health Counseling Substance Abuse Prevention and Treatment	Participants Health District School District County Family Services Juvenile Justice	• Substance abuse awareness. • Increase in self-confidence. • Positive behavioral changes. • Meeting recovery goals. • Improving health and wellness. • Positive social awareness.		• Reduction in Teen pregnancy. • Increase in high school graduation rates. • Increase in young adults continuing education. • Reduction in youth violence. • Reduction in youth and young adult substance abuse.

SNAPETFWRD Logic Model

Mission

To reduce reliance on SNAP assistance through self-sustaining employment.

Goals

Provide participants the opportunity to receive the HSE / high school diploma.

Provide participants with the skills and support services necessary to obtain and maintain employment.

Provide participants with training to enhance their skills which increases their employability.

Assumptions

By implementing a pilot project which provides a SNAPET participant with intensive case management, training, and work experience skills, they will be able to be competitive for jobs in the current employment market and be able to obtain and maintain sustainable employment. These individuals, will therefore be able to reduce or eliminate reliance on public assistance.

Inputs

Investments

Partners invest organizational experience, staff, fiscal resources, research data, curriculum, materials, equipment, space, and technology.

- DETR
- DWSS
- DHHS
- JobConnect
- JOIN
- GOED
- Workforce Connections
- NevadaWorks
- State Workforce Investment Board
- NDE
- Employers
- SAPTA

Outputs

Activities / Participation

Program Activities

- Intensive Case Management
- Assessments
- Workshops
- Job coaching
- Work experience
- Adult Basic Education
- Life Skills
- Vocational Education
- Health Wraparound Services

Who is Reached

- SNAP recipients
- 18-24 year olds
- Identified high-need zip codes in Promise Zone designated areas within Clark and Washoe Counties

Outcomes – Impact

Short Term / Medium Term / Long Term

Short Term Results

Active Participation

- Complete Assessments
- Attend Orientations
- Participate and engage in assigned program activities
- Baseline activities / data collection

Medium Term Results

Skill Obtainment

- Complete Training
- Obtain certificates
- Participate in work experience programs
- On-the-Job Training
- Receive HS diploma / HSE
- Language skill attainment

Ultimate Impact

Sustainable Gainful Employment

- Employment
- Career ladder
- Reduce dependency on public assistance
- Transferable job skills
- Successful coordination of investors

Program Evaluation

Review Goals and Assumptions – Collect Data – Evaluate Actions – Analyze and Interpret Results – Develop Report

Goals

Create sustainable TPP efforts in targeted communities

Promote and Change attitudes towards teen pregnancy and unintended STIs

Create a strong referral system between local community partners, health care centers, and organizations

Create positive youth development for a healthy and productive future

Inputs

Division of Public and Behavioral Health

CBA Grant Project Director will maintain partner communications and coordination, document results, provide technical assistance and training, maintain program fidelity, ensure fiscal accountability, and compliance with grant guidelines

Subgrantees

CBA Program Coordinators and Facilitators will become trained on evidence-based TPP curriculum, recruit youth from targeted populations, provide curriculum during scheduled sessions, collect data and report findings

Activities

Plan for the initiative and identify specific needs

Establish key partnership with Subgrantees, provide training and technical assistance

Develop rapport with community partners to encourage community involvement and buy-ins for TPP program

Implementation of TPP program and strengthening of Subgrantees' TPP programs

Increase referral system and linking teens to local resources

Short Term Outcomes

Subgrantees are engaged and committed in identifying Program Facilitators to best implement TPP program in their specific region

Training reinforces Facilitators' knowledge about TPP curriculum, and are supportive of TPP effort within their community

Collaborative network with other local community partners

Implement and maintain evidence-based TPP curriculum, becoming inclusive of all teens including Native and LGBTQ teens

Intermediate Outcomes

Increase number of teens reached by TPP efforts

Increase knowledge and intention to access of reproductive health services by teens reached by TPP efforts

Increase knowledge and intention to access contraceptive methods among teens reached by TPP efforts

Receive and give referrals to health care network partners for sexual and reproductive health

Increase in community participation and program buy-in

Long Term Outcomes

Sustained TPP efforts in each community

Fewer teen pregnancies, teen births, and STIs among vulnerable teens

Better long-term educational outcomes for teens,

Appendix B

APPENDIX C
COMMUNICATION PLAN EXAMPLE

Medicaid State Innovation Model Grant
Public Stakeholder Communication Plan

I. Introduction

The DHCFP was awarded the State Innovations Model (SIM) grant to design a statewide plan to improve the population health in Nevada. To accomplish this objective, DHCFP will require broad statewide support from health care providers, public health officials, industry associations, consumer advocacy groups, medical centers and researchers and all stakeholders to design and develop an innovation model that reflects the unique characteristics of Nevada's health care environment and population. Nevada will collaborate with Centers for Medicare and Medicaid (CMS) and the Centers for Disease Control (CDC) in developing our strategy. Nevada's plan will address the core measures identified in the population health metrics (i.e., tobacco use, obesity, and diabetes) as well as a selection of Nevada specific measures based on goals that are specific, measurable, achievable and realistic. Nevada's plan will integrate strategies that address Governor Sandoval's core health care priorities as well as child wellness and prevention priorities such as reducing childhood obesity, preventing early childhood dental caries, and maternal depression to foster healthy child development. These priorities will be categorized into three innovation and systematic improvement areas including payer-collaboration, health care workforce, and Quality Improvement Assessment (QIA).

The CMS has awarded Nevada the SIM Grant in the amount of $2,000,000 for this project, with the grant starting February 1, 2015, and running for 12-months. In support of this project, the PSCP will work to improve transparency to decision makers and the public; improved methods of measuring what the state does and whether agencies are making a difference; linking activities of government to achievement of objectives; and providing a platform for improvement in funding and budgeting decisions. Nevada has identified seven objectives for health priorities including: 1) access to affordable and high quality health care; 2) prevention strategies that increase awareness; 3) wellness initiatives that educate, encourage and empower; 4) chronic disease; 5) quality of health services; 6) improving pre-natal care; and 7) providing accessible and affordable mental health.

The purpose of the PSCP is to:

- Identify the range of stakeholders and interested parties who will provide input into public health;
- Describe outreach, education and communication programs to ensure a broad array of stakeholders, direct health providers, and the public have access to, and influence in, the implementation and planning process moving forward;
- Identify the milestones and activities; and
- Identify performance measures and engagement strategies to evaluate the effectiveness of the outreach program, with sensitivity to cultural and linguistic engagement.

DHCFP is committed to a public involvement program as a proactive approach for public involvement, applying new and innovative outreach methods. The goal is to identify and evaluate any concerns, suggestions, comments, and unique needs of Nevada providers, families and service providers as they relate to proposed projects. The public outreach strategies employed will include a mix of public meetings, stakeholder meetings and listening sessions. Information will be distributed via the DHCFP website, surveys, newsletters, media outreach, community events, LISTSERV and targeted community presentations. DHCFP believes that public outreach and involvement fosters active participation and an open decision-making process from the community.

II. Approach

The PSCP includes a broad range of methods to reach diverse audiences. Part of the over-reaching strategy is to design the outreach program to reach a variety of stakeholders, including: health providers, managed care organizations (MCOs), families, educators, wrap-around service providers and the public in the communities impacted. The objective is to make it easy and convenient for all stakeholders to participate, while ensuring access to information.

Three process tools to be utilized for the PSCP will be Outreach, Educate, and Engage.

- ***Outreach*** — Outreach tools raise awareness, get people interested and publicize education and engagement opportunities such as communications and messaging, website, social media and public outreach.
- ***Educate*** — Education tools work to inform people about the program and issues and provide a basis of facts that assists policy makers to make informed decisions about health care and become aware of the programs and supports available through Websites; E-newsletters / E-blasts; Fact sheets; Frequently Asked Questions (FAQs) ; Videos; and events.
- ***Engage*** — Engagement tools work to foster an environment that opens dialogue with the public and stakeholders. This process focuses on influencing both short and long term policy, implementation, and process measures through interviews, briefings, focus groups, subject-matter health related meetings, health symposium, web-based tools, surveys, interactive community workshops, and open houses.

To address Nevada's health care concerns, Governor Sandoval introduced Priorities and Performance Based Budgeting (PPBB), which is the process of identifying and prioritizing the Governor's vision as it relates to the state's core functions, their costs and delivering effective and efficient outcomes. This plan addresses the importance of health care and sets expectations that nothing less than a healthy Nevada and full-access for all Nevadans to quality health-care is acceptable. All materials for the SIM project will be available on the DHFCP web link for collaboration, review and comment.

Any proposed interventions must align with the goals and objectives of the SIM and CMS, be measurable, realistic, and obtainable. Throughout this process, stakeholders will be involved as they are an integral part of the success of the plan. The plan will include the evaluation and monitoring activities during implementation and maintenance. As information is available on potential innovations, the SIM Grant Team will evaluate the initiative(s) including a description of the methodologies, lessons learned, and findings and recommendations. DHCFP anticipates this will be completed at various intervals to capitalize on rapid cycle learning and evaluation opportunities.

III. Public Involvement Program Structure

As each community is distinctly different, Nevada recognizes the importance of individual communities providing valuable input for Nevada's health. Nevada is a sparsely populated state with 17 counties, but only two major population centers: Las Vegas (Clark County) in the southern part of the state, and the Reno/Sparks area (Washoe County) in the northern part of the state. Rural populations in need of an urban tertiary facility have 'access to care problems', with distances as far as 60 miles to 245 miles, one way. Based on Governor Sandoval's priorities and the State's overall health care objectives, Nevada will work with a broad range of stakeholders, from across all counties in Nevada, to transform health care delivery in Nevada. DHCFP has identified guiding principles for transforming health care delivery, many of which are consistent with CMS' characteristics of a transformed system. Models considered for this initiative must apply these guiding principles:

- Integrated providers and networks, including virtual and/or technology based, across the care continuum collaborate on patient-focused, high quality health care.
- Payments to providers and/or service vendors are tied to value and performance that lead to better controlled costs.
- Every patient has a provider who is responsible for ensuring the patient has the services needed based on reasonable care parameters.
- Providers are evaluated on individual episodes of care and accountable for population based measures of quality, service and cost.
- Patients are engaged in their care and treatment decisions.
- Data is widely available and used to improve quality.
- Care delivery is unified to eliminate medically underserved and health care shortage areas.
- The number of specialists and available network providers is appropriate to the needs of the population.
- Providers achieve board certification and economic incentives are used to recognize high performance and results.
- Data is used as a basis of management and performance.
- Technology is used to minimize administrative burden and reduce administrative costs.
- State and federal regulations and statutes should promote quality, performance, and service delivery while not creating barriers and/or inefficiencies that are incongruent to these principles.

A critical determinant of success for SIM is the input and on-going involvement of a broad range of stakeholders across the state. Many stakeholders are on the front lines every day, working directly with patients, policies and procedures, as well as the barriers, restrictions, and limitations that impose upon the provider and patient relationship. The institutional knowledge gained from stakeholder experience and expertise is an invaluable resource to this initiative. DHCFP shares CMS' belief that true innovation is derived from broad stakeholder input and collaboration. We are to engage stakeholders about their observations on what works, what does not work, what are the risks, and what are the cost drivers or barriers that lead to inefficiencies in care delivery, poor quality outcomes, and costs that annually increase faster than inflation.

Kick-Off Meeting:
DHCFP is committed to working with representative of Nevada's entire population. Each group will have an opportunity to provide input into the model design and development process, including participation in work groups and committees. DHCFO plans to conduct regional collaboration sessions in both face-to-face and technology-based formats. DHCFP is committed to designing a state health plan that includes multi-payer payment innovation and measure alignment. DHCFP will be holding a kick-off meeting in Carson City, Nevada for the grant in February 2015 to include state and local government agencies, providers, local health officials, community-based organizations, health policy experts, provider industry associations, medical schools, and consumer advocacy groups, among others, allowing an opportunity for stakeholders to actively engage with the Division regarding their perspectives on the directions we should take on this SIM opportunity.

Quarterly Meetings:
The DHCFP will be holding quarterly meetings for the SIM project that will focus on specific agenda items; and will create workgroups, involving internal and external stakeholders to accomplish the goals and objectives of the SIM grant. Workgroups and committees will develop reports and communications that will be disseminated statewide. All public health agencies will be invited to select a representative to attend all meetings and workshops.

Steering Committee:
The DHCFP will identify a Grant Steering Committee (SC) that will staff that oversee tasks, direct the project team, and provide feedback and comments for work plan components. The SC may also be well suited to convene for implementation actions, such as yearly updates, and state and federal legislation.
Stakeholder Meetings:
Stakeholder focus group meetings will be held to solicit feedback, comments, and recommendations. The workshop(s) will be structured to include stakeholders with certain common objectives or affinities; thereby allowing greater ability to deliberate on specific topics and providing for evaluation at higher levels and with greater specificity. DHFCP will structure the stakeholder focus groups in ways that correspond with organizations and groups recruited during the stakeholder identification process. To ensure a diverse range of opinions, the participation of any one individual will be limited to two workgroups, excluding the Steering Committee and State staff.
These will include:

- Local and Regional Government Agencies;
- Social Service Organizations;
- Chamber of Commerce(s);
- Elected Official Briefings ;
- Tribal Community Outreach and Communication;
- Multi-Cultural Community Outreach;
- Hospitals;
- Citizen Advisory Groups;
- Direct health care service providers;
- Health Service Organizations;
- Minority Community Committees;
- State Agencies;
- Managed Care Organizations (MCO);

- Legislative Health Committee Members;
- Health Management Organizations (HMO);
- Insurance Companies;
- Rural Communities;
- Public; and
- Health Care Advocates and Associations.

Public Information Meeting:
Public information meetings are intended to gather input from community stakeholders throughout the planning, implementation and future development plans. Public meetings will be information focused, held in an open-house format, with subject-matter experts from the DHFCP and specifically, the SIM grant team, to answer questions. These informational meetings will be tailored to address specific issues for the community such direct service health care providers; general public; minority groups and the disadvantaged populations.
Each guest attending the public information meeting will receive a handout describing the proposed project, status update, what the current and next steps will be, as well as how they may submit their comments and a comment sheet. The comment period will remain open for no less than two weeks after a public information meeting. All public meetings will be a minimum time frame of two hours. The DHFCP strives to make transportation accessible to everyone using Americans with Disabilities Act (ADA) tools and resources. All public meeting locations are ADA compliant and anyone needing assistance with disabilities or limited English proficiency will be accommodated by contacting DHFCP's public information officer (PIO). There will be at least two public informational meetings in Clark County; Washoe County; as well as two specific meetings scheduled in a northern and southern rural community, with teleconference to discuss rural health care issues.

Public Speaking Engagements:
The DHFCP will develop a series of community presentations and speaking opportunities for the purpose of proactively educating organizations, groups, and agencies about the SIM program, implementation, and progress of the project. This is intended to function as a targeted approach to public involvement that will engage unique constituencies in formats that are familiar to them, such as trade association luncheons, membership meetings, etc.

Information Materials:
The DHFCP will compose informative materials such as FAQs, fact sheets, e-briefs, meeting packets for stakeholder focus groups and public meetings, and other materials as necessary to support the public involvement activities. Collateral materials composed for stakeholder focus groups will be drafted in accordance with the technical and informational needs of each session. Collateral materials compiled for the purpose of public information meetings will be clearly and succinctly articulated so as to resonate with a general public audience. The DHFCP will submit detailed subscriptions of collateral materials to be shared for the purpose of the proposed plan and public information meeting materials will be available for review on the website link.

Website:
The DHFCP will construct a website link, through the DHFCP site, that will be a user-friendly design and will include an overview, meeting information, working papers, and other informational materials to help educate stakeholders and the general public. This website will also include methods to facilitate two-way information exchanges with stakeholders and the general public, contact information for agency representatives, links to social media feeds, and links to community speaking engagements and presentation opportunities.

Social Media:
Young adults will more often communicate electronically than face to face with their peers, family, friends, business associates, and other programs. Their world is in constant motion and communication is through instant messaging, texting, social network sites such as Facebook or email, Skype and Face-Time. Many young people prefer to communicate electronically, rather than in person, and are uncomfortable engaging services in any other way. This has made face to face communication or service delivery foreign to much of this generation. Social media offers a potentially promising and still relatively untapped means to stay connected with participants —particularly youth and young adults—both during and fol-

lowing their interaction with DHFCP. Recognizing these social changes and dynamics of service delivery in the employment or social service systems is critical to engaging young adults to seek employment, behavioral health services, or other necessary services with confidence.

The concept of leveraging social media is consistent with the desire to develop innovative and meaningful ways to communicate sophisticated planning with stakeholders and the general public. The DHFCP will work to leverage emerging technology to engage and educate the public at key intervals throughout a plan, study or project schedule. For example, social media platforms will be developed to share important developments, meeting announcements, and provide opportunities to submit comments and feedback. The social media feeds may contain interesting facts, images, or updates related to a study or project. An emphasis will be placed on generating awareness of speaking engagements and presentation opportunities through social media announcements. DHFCP's Project Manager and DHHS Public Information Office will distribute social media updates over the course of a study or project schedule via DHFCP's Facebook page, website or other social media outlets.

IV. Public Engagement Program

The public engagement program will offer opportunities for the public, key community business and civic leaders, as well as the staff and elected officials of local agencies and jurisdictions to be involved. In particular, the program will seek out and consider the viewpoints of minority low-income and limited English proficiency (LEP) populations in the course of conducting public outreach and involvement activities. Specific goals and outcomes will be coordinated through five divisions of the DHHS:

1. The Aging and Disability Services Division (ADSD) in the State of Nevada, DHHS, represents Nevada's elders, children and adults with disabilities or special health care needs. The Administrator is Jane Gruner.
2. The Nevada Division of Child and Family Services (DCFS), together in genuine partnership with families, communities and other governmental agencies, provides support and services to assist Nevada's children and families in reaching their full human potential. The Administrator is Amber Howell.
3. The Division of Health Care Financing and Policy (DHCFP) works in partnership with the Centers for Medicare & Medicaid Services (CMS) to assist in providing quality health care for eligible individuals and families with low incomes and limited resources. DHCFP administers two major federal health coverage programs: Medicaid and Children's Health Insurance Program (CHIP). The CHIP program in Nevada is known as Nevada Check Up (NCU). The Administrator is Laurie Squartsoff.
4. The Division of Welfare and Supportive Services (DWSS) provides quality, timely and temporary services enabling Nevada families, the disabled and elderly to achieve their highest levels of self-sufficiency. Programs administered are Child Care, Energy Assistance, Food (SNAP), and Financial Assistance (TANF). The DWSS processes eligibility applications for the State's health care programs. The Administrator is Steve Fisher.
5. The Division of Public and Behavioral Health (DPBH) mission is to protect, promote and improve the physical and behavioral health of the people in Nevada. The Administrator is Richard Whitley.

Payer System Input:

Each Division is committed to working across agency with Nevada's stakeholders in conjunction with CMS to design an innovative model for successful statewide health transformation.

DHCFP is continuing to investigate full collaboration with payer and health care systems across the state this continued work will identify additional populations that will be addressed by this initiative. Based on an initial assessment of the potential payer system collaboration, we have identified the potential population target groups as the following: Medicaid, Children's Health Insurance Program, Indian Health Services, Public Employees Benefit Plan, and the Culinary Institutes Self-Funded Plan. This target population will include approximately 480,000 beneficiaries, or approximately 17 percent of the State's population. Nevada is encouraging commercial plans to participate as well and will continue toward that goal. A broad spectrum of stakeholders, from public and private plans and payers, regardless of whether their populations are participating, and encouraged to participate in the design and development processes.

Regulatory Changes:

The DHCFP is committed to using its full range of regulatory, policy, and rule making authority to influence the structure and performance of the State's health care system. It is DHCFP's intention that all options are open for consideration

providing congruency with the State's overall health objectives, Governor Sandoval's health care priorities, and the guiding principles. The DHCFP is prepared to propose and/or support changes in statutory authority at the state and/or federal level under the same conditions.
These regulatory authorities include:

- Aligning processes and criteria.
- Reinforcing delivery system transformation or developing alternative approaches.
- Developing regulatory approaches to improve the effectiveness, efficiency, and appropriate mix of the health care work force.
- Creating opportunities to align state regulations and requirements for health insurers with the broader goals of multi-payer delivery system and payment reform.
- Integrating value-based principles.
- Evaluating the contracting processes that provide the most competitive combination of value, quality, and choice.
- Increasing medical, paramedical, practitioner, dental, and pharmacist education.
- Involving other regulatory authorities that support delivery system transformation.

The State's executive leadership team will direct the planning and oversight of design and development activities and utilize policy and regulatory levers to accelerate standards based health information technology adoption to facilitate improvement in delivery system care. Effective communication, planning and project management will be used for promoting patient engagement and shared-decision making; and for developing multi-payer strategies to enable and expand the use of health information technology to make data driven decisions to coordinate and improve care across the state. Workgroups and committees will be tasked with studying and developing plans to increase access and improve timeliness of care. DHCFP will provide on-going technical assistance to providers, identifying targeted provider groups that will receive assistance by using current approaches of communication such as a toll-free telephone line, banner messages, web-based training, and specialized events. DHCFP will use data analytics and health information technology to support delivery system transformation. To achieve these goals, DHCFP will:

- **Build Relationships:** Create opportunities for stakeholders and the general public to meet and engage with others interested in helping to improve health in Nevada;
- **Create Opportunities for Inclusive Participation:** Invite all to come to the table to influence the content;
- **Inform Decision-Making:** Provide stakeholder and public input that reflects local values, is useful and relevant, and informs decision making;
- **Build Long-Term Capacity for Civic Engagement:** Help those engaged through this process to stay involved and increase their capabilities to communicate not only concerns and issues, but stay involved;
- **Include Staff in Outreach and Engagement Activities:** Involve staff in the process as leaders, facilitators and observers.
- **Consult, Communicate and Collaborate:** Ensure the PSEP reflects best practices, professional and technical expertise.

Outreach Toolkits: The Project Team will proactively reach out and engage a full range of stakeholder groups, including low-income, minority and limited English proficiency (LEP) populations from within the region. Activities will also be timed to address the 24 hour economy of the region. The public participation process will accommodate engagement in a variety of settings, for both individuals and different size groups, and will be tailored to match local and cultural preferences to the greatest extent possible. The DHFCP recognizes that many people respond to the personal touch. Outreach toolkits will allow trained project representatives to go out into the community and reach people in small group settings and in their preferred language. Many of these same materials will be adapted to the digital environment – e.g., interactive surveys, a web-based priority setting exercise, or a "choose your preferred scenario" exercise. Adapting these same tools to the iPad and smartphone will help reach thousands of users, especially those who typically do not attend or prefer not to attend traditional meetings. Outreach efforts will be designed to reach participants that mirror the demographics of the region or census tract in which they take place. Efforts will be designed to reach the percentage of the population that identifies as minority, in high-need areas.. As part of the outreach and engagement activities, participant satisfaction surveys will be collected to determine the success of the activities and/or identify potential corrective actions.

V. Targeted Community Outreach

A. Tribal Outreach:

The DHFCP will attend two Medicaid Tribal Health Meetings to present information and obtain feedback from the Tribal Communities;

B. Nevada Communities:

The DHCFP has identified the Clark County Social Service Chief as the key partner in Clark County Nevada to assist with the public outreach efforts ensuring key stakeholders in Clark County (Nevada's largest urban area with over $2 million people), are engaged.

All public health agencies will designate a key representative to serve as outreach, for each county. For those counties that do not have a public health agency, the County Manager will have the opportunity to designate a representative.

There will be a minimum of two outreach meetings specific for the rural communities. One meeting will be held in a Churchill County, with teleconference access; and one will be held in a Nye County, with teleconference access.

C. Policy Makers:

The DHCFP will attend at least one meeting:

- Subject matter specific meeting for the Legislative Health Committee;
- Subject matter specific meeting for the Governor's Council of Behavioral Health;
- Subject matter specific meeting for Nevada hospitals;
- Subject matter specific meeting for health care payers.

Nevada will engage the Office of Minority Health, the Nevada's Governor's Council of Developmental Disabilities, key councils for assistance with outreach and for input; including all of the agencies under the Department of Health and Human Resources as mentioned before.

Obstacles & Challenges

Cross-jurisdictional partnerships are complex, and with limited available resources, it makes it even more difficult. As a result, there are a number of challenges the team will need to consider when working on the SIM Grant. With any diverse and robust collaborative project, there will be challenges with communication, data collection, consistency, application, and ensuring valid and reliable information. The first challenge identified is communication. Nevada would expect that the dates and times for coordination would not always work for all stakeholders. In addition, the level and time commitment to this project may vary based on organization, university or state personnel. To address these issues, Nevada is prepared to develop a meeting schedule that incorporates the core member's schedules to ensure active participation and availability from all stakeholders. There will also be a LISTSERV ensuring that all individuals are receiving the same updated information and a link to provide the most up-to-date information to minimize confusion or links to valuable data and information.

The second challenge is related to the consistency of definitions, data, information, and developing methods to apply to programs that will all have some discrepancies in delivery and applicability. Ensuring the program is developed in a manner that all stakeholders will be able to use this program as a resource and easily apply the results to their respective areas will be imperative to a successful regional program. To do this, Nevada will work with the Pilot Team to deliver a standard set of data measures, with definitions. A clear program timeframe, with key deliverables, will be developed in cooperation with the Pilot Team and input from key stakeholders, including sub-recipients.

Evaluation:

The success of the DHFCP's Communications Plan will be evaluated as tasks are completed. Measuring items such as Communication Output, Outgrowth, Events, Awareness and Publications will also assist in measuring the success of the plan. The DHFCP will incorporate questions such as: "to what extent does the communication respond to the information needs of the target audience?" and "How coherent are the tools and messages with the objectives of the initiative"? To ensure effective evaluation, the communications plan will be updated to include findings from the evaluation process.

APPENDIX D
BUDGET NARRATIVE EXAMPLE
(SYSTEM OF CARE USED AS EXAMPLE)

A. Personnel:
YEAR 1 FEDERAL REQUEST …… $488,678

Position	Effort	Year 1	Year 2	Year 3	Year 4	Total
Project Manager	100%	$54,551	$56,733	$59,002	$61,362	$231,648
Youth & Family Coordinator	100%	$40,118	$41,723	$43,392	$45,127	$170,360
Grants & Project Analyst	100%	$40,118	$40,723	$43,392	$45,127	$170,360
Administrative Asst.	100%	$28,774	$29,925	$31,122	$32,367	$122,188
Technical Assistance & Training Manager	100%	$54,551	$56,733	$59,002	$61,362	$231,648
Technical Assistance & Training Coordinator - South	100%	$43,758	$45,508	$47,329	$49,222	$185,117
Technical Assistance & Training Coordinator - North	100%	$43,758	$45,508	$47,328	$49,222	$185,116
Quality Assurance & Policy Development Manager	100%	$49,863	$51,858	$53,932	$56,089	$211,742
Policy Development Coordinator	100%	$45,671	$47,498	$49,398	$51,374	$193,941
Quality Assurance Coordinator – South	100%	$43,758	$45,508	$47,329	$49,222	$185,117
Quality Assurance Coordinator – North	100%	$43,758	$45,508	$47,329	$49,222	$195,117
	TOTAL	**$488,678**	**$508,225**	**$528,554**	**$549,696**	**$2,075,154**

JUSTIFICATION/NARRATIVE:
Project Manager: this position will report to the Deputy Administrator (leveraged position currently in place) and will be responsible for daily oversight of the system of care for SED youth program.

Youth & Family Coordinator: this position will report to the project manager and will be responsible for standard messaging including family to family and peer services, social media integration and culturally and linguistically appropriate services.

Grants & Project Analyst II: this position will report to the project manager and will be responsible for the daily data collection and coordinate between fiscal and program duties affecting the SOC – SED youth program.

Administrative Assistant III: this position will report to the project manager and will responsible for performing a variety of clerical, administrative and support duties.

Technical Assistance & Training Manager: this position will report to the project manager and will responsible for coordinating and managing all technical assistance and training activities. _

TA & Training Coordinator – South: this position will report to technical assistance and training manager and will responsible for _providing technical assistance and training of SOC values and principals, as well as training to evidence based practices to providers in Clark County.

TA & Training Coordinator – North: this position will report to technical assistance and training manager and will responsible for providing technical assistance and training of SOC values and principals, as well as training to evidence based practices to providers in Washoe County

Quality Assurance & Policy Development Manager: this position will report to the project manager and will responsible for overseeing the development of provider standards and policy, as well as quality assurance review of providers.

Policy Development Coordinator: this position will report to the Quality Assurance and Policy Development Manage and will responsible for developing provider standards and policy, as well as quality assurance tools

QA Coordinator – South: this position will report to the quality assurance and policy development manage and will responsible for conducting quality assurance reviews on SOC principles and values, as well as provider standards, for providers in Clark County.

QA Coordinator – North: this position will report to the quality assurance and policy development manager and will responsible for conducting quality assurance reviews on SOC principles and values, as well as provider standards, for providers in Washoe County.

B. Fringe Benefits:

YEAR 1 FEDERAL REQUEST ……. $266,819

Item	Rate	Year 1	Year 2	Year 3	Year 4	Total
FICA	12%	$58,641	$60,987	$63,426	$55,964	$249,018
Medicare| WC	3.8%	$18,570	$19,313	$20,085	$20,888	$78,856
Internal Svc Charges	3.8%	$18,570	$19,313	$20,085	$20,888	$78,656
Health	13%	$61,085	$63,528	$66,069	$68,712	$259,394
Retirement	22.5%	$109,953	$114,351	$118,925	$123,682	$466,910
	TOTAL	**$266,819**	**$277,492**	**$288,590**	**$300,134**	**1,133,035**

JUSTIFICATION/NARRATIVE:

The fringe benefit rates are the current agency rates.

C. Travel:

YEAR 1 FEDERAL REQUEST …….. $7,059

Purpose	Rate	Year 1	Year 2	Year 3	Year 4	Total
SOC Meetings & Trainings (in-state)		**3 persons**	**2 persons**	**3 persons**	**2 persons**	
Airfare	$400	$1,200	$800	$1,200	$800	$4,000
Lodging – 1 night	$125	$375	$250	$375	$250	$1,250
Per diem – 2 days	$71	$426	$284	$426	$284	$1,420
Parking – 2 days	$14	$84	$56	$84	$56	$280
Car Rental – 2	$35	$210	$140	$210	$140	$700

days						
National Training & Meetings		**3 persons**	**3 persons**	**3 persons**	**3 persons**	
Airfare	$700	$2,100	$2,100	$2,100	$2,100	$8,400
Lodging – 3 nights	$150	$1,350	$1,350	$1,350	$1,350	$5,400
Per Diem – 4 days	$83	$996	$996	$996	$996	$3,984
Parking – 4 days	$14	$168	$168	$168	$168	$672
Ground Transport	$50	$150	$150	$150	$150	$600
	TOTAL	**$7,059**	**$6,294**	**$7,059**	**$6,294**	**$26,706**

JUSTIFICATION/NARRATIVE:

SOC Meetings / Trainings (in-state) – Including costs for a minimum of 10 persons for grantee meetings is a required component of the grant announcement / application. This has been spread out to alternate between 3 and 2 persons attending meetings each year.

National Training & Meetings (Washington, D.C.) – This cost category is included for future annual national conferences for a minimum of 3 persons to attend each year.

D. Equipment:

YEAR 1 FEDERAL REQUEST …….. $0

E. Supplies:

YEAR 1 FEDERAL REQUEST …… $53,270

Item	Rate	Year 1	Year 2	Year 3	Year 4	Total
PC/Computer/Data	11 @ $2,500	$27,500	$0	$0	$0	$27,500
Software	11 @ $690	$7,590	$7,590	$7,590	$7,590	$30,360
Printer	4 @ $200	$800	$0	$0	$0	$800
Office Furniture	11 @ $800	$8,800	$0	$0	$0	$8,800
Telephone	11 @ $600	$6,600	$0	$0	$0	$6,600
Misc. Office Supply	11 @ $15 mo x 12	$1,980	$1,980	$1,980	$1,980	$7,920
	Total	**$53,270**	**$9,570**	**$9,570**	**$9,570**	**$81,980**

JUSTIFICATION/NARRATIVE:

PC/Computer/DATA – Costs are associated with each of the 11 positions being proposed in this application. Computer and Data wiring will be necessary for each position to perform their daily functions.

*Software –*Costs are associated with each of the 11 positions being proposed in this application. Computer and Data wiring will be necessary for each position to perform their daily functions.

Printer – Costs are associated with each of the 11 positions being proposed in this application. Printer accessibility will be necessary for each position to perform their daily functions. This proposal includes offices in the North and Southern locations of Nevada (distance of 400 miles) and will have 2 printers in each location.

Office Furniture – Costs are associated with each of the 11 positions being proposed in this application. Office furniture will be necessary for each position to perform their daily functions.

Telephone – Costs are associated with each of the 11 positions being proposed in this application. A telephone will be necessary for each position to perform their daily functions.

Misc. Office Supply – Costs are associated with each of the 11 positions being proposed in this application at approximately $15 per month per position for each year. Office supplies consisting of pens, paper etc. will be necessary for each position to perform their daily functions.

F. Contractual:

Year 1 FEDERAL REQUEST …… $1,710,000

Name / Service	Year 1	Year 2	Year 3	Year 4	Total
HMIS Access Point	$100,000	$100,000	$100,000	$100,000	$400,000
External Evaluator	$200,000	$200,000	$200,000	$200,000	$800,000
Service Coordination	$210,000	$210,000	$210,000	$210,000	$840,000
Community Supports	$165,000	$165,000	$165,000	$165,000	$660,000
Clinical Supports	$300,000	$300,000	$300,000	$300,000	$1,200,000
Family Supports	$300,000	$300,000	$300,000	$300,000	$1,200,000
Home Supports	$180,000	$180,000	$180,000	$180,000	$720,000
Crisis Supports	$135,000	$135,000	$135,000	$135,000	$540,000
Individual Service Plan Supports	$120,000	$120,000	$120,000	$120,000	$480,000
Total	**$1,710,000**	**$1,710,000**	**$1,710,000**	**$1,710,000**	**$6,840,000**

JUSTIFICATION/NARRATIVE:

HMIS Access Point – This cost category will be sub-granted to agencies participating in the system of care continuum to ensure adequate and consistent data collection. Approximately 50 providers at $2,000 across the state will be engaged to improve the initial point of contact working cross-agency for enhanced data.

External Evaluator – This cost category will be contracted to an external evaluator to analyze and report performance measures and effectiveness of service delivery. The evaluator will engage on a weekly basis and provide necessary reports for quality continuous improvement.

Service Coordination – This cost category will be sub-granted to agencies using a wraparound model who assist individuals in planning, developing, choosing, gaining access to, coordinating and monitoring the provision of needed services and supports for a specific individual across child and family serving agencies and services.

*Community Supports/Intensive Day Treatment-*This cost category will be sub-granted to agencies assisting SED individuals to develop skills and social connections. This assistance may include daily living, supportive counseling, supports may be individual or group supports and will be provided in accordance with the desires of the individual and take place within the natural settings of home and community.

Clinical Supports – This cost category will be sub-granted to agencies assisting SED individuals with assessment, therapeutic, medication or medical services provided by clinical or medical staff. Clinical supports are defined as medically necessary that cannot be accessed through the Medicaid State Plan.

Family Supports – This cost category will be sub-granted to agencies assisting SED individuals and their families to navigate services and provider programs, provide family to family support, and peer to peer activities.

Home (Respite) Support – This cost category will be sub-granted to agencies providing services, supports and supervision provided for individuals with SED in and around their residences up to twenty-four hours, seven days a week (24/7). An array of services may be provided as appropriate and include the provision of assistance and resources to youth returning from out of home placements, or to youth at risk for out of home placements.

Transition to Adulthood Supports-This cost category will assist vulnerable youth who have been in contact with service systems, including child welfare, juvenile justice, and runaway and homeless programs serving youth at risk to "fall through the cracks" to obtain needed educational, housing, mental health, social, and vocational services.

Individualized Service Plan Supports – This cost category will be sub-granted to agencies providing assistance to families with individuals experiencing SED in establishing comprehensive service plans that are key to identifying the supports that an individual needs.

G. Other:

YEAR 1 FEDERAL REQUEST …… $9,301

YEAR 1 MATCH …… $929,546

Item	Rate	Year 1	Year 2	Year 3	Year 4	Total
Voicemail & Phone	$288 x 11	$3,168	$3,168	$3,168	$3,168	$12,672
Data & Fax	$103 x 11	$1,133	$1,133	$1,133	$1,133	$4,532
Media Development	$1,250 quarterly	$5,000	$5,000	$5,000	$5,000	$20,000
Mobile Crisis		$929,546	$924,323	936,127	$974,082	$3,764,078
Desert Willow		$0	$0	$0	$1,610,913	$1,610,913
	Total	**$938,847**	**$933,624**	**$945,428**	**$2,594,296**	**$5,412,195**

JUSTIFICATION/NARRATIVE:

Voicemail & Phone Service – Costs are associated with each of the 11 positions being proposed in this application. Voicemail and phone service will be necessary for each position to perform their daily functions.

Data & Fax Service – Costs are associated with each of the 11 positions being proposed in this application. Data and fax service will be necessary for each position to perform their daily functions.

Media Development – The Youth and Family Coordinator, responsible for consistent messaging, will prepare public service messaging to be delivered (at minimum) quarterly for the duration of the program.

Mobile Crisis Match (Years 1-4) Mobile crisis response services provide immediate care and treatment from specialized teams which includes a qualified mental health professional and psychiatric case manager to any child or adolescent requiring support and intervention with a psychiatric emergency. Crisis interventions reduce symptoms, stabilize the situation, restore the youth and family to their previous level of functioning and assist the youth in staying in the home, or returning to the home as rapidly as possible if the youth has been removed from their home or community setting. Mobile services are provided in a variety of settings, including but not limited to, homes, schools, homeless shelters, and emergency rooms. Crisis response services include crisis assessment, immediate psychiatric evaluation if needed, safety planning, individual and family therapy utilizing evidence based interventions, wraparound case management, family to family and peer to peer support. The mobile crisis hotline also serves as a "no wrong door" mechanism to assist any individual or family with getting needed services. The Mobile Crisis Response Team is designed to reduce unnecessary psychiatric hospitalizations and placement disruptions of children and youth, and to reduce the need for youth to go to emergency rooms or detention centers to have their mental and behavioral health needs addressed.

Desert Willow Match (Year 4) Dessert Willow Treatment Center is the Nevada State Youth Psychiatric Hospital. It is a 56 bed facility that includes three residential treatment units and two acute care units. This grant proposal repurposes the funding for this high level facility to services provided at a lower level of care within the community.

BUDGET SUMMARY

Category	Year 1 Federal	Year 1 Match	Year 2 Federal	Year 2 Match	Year 3 Federal	Year 3 Match	Year 4 Federal	Year 4 Match
Personnel	$488,678	$0	$508,225	$0	$528,554	$0	$549,696	$0
Fringe	$266,819	$0	$277,492	$0	$288,590	$0	$300,134	$0
Travel	$7,059	$0	$6,294	$0	$7,059	$0	$6,294	$0
Equipment	$0	$0	$0	$0	$0	$0	$0	$0
Supplies	$53,270	$0	$9,570	$0	$9,570	$0	$9,570	$0
Contractual	$1,710,000	$0	$1,710,000	$0	$1,710,000	$0	$1,710,000	$0
Other	$9,301	$929,546	$9,301	$924,323	$9,301	$936,127	$9,301	$2,584,995
Total Direct	$2,535,127	$929,546	$2,520,881	$924,323	$2,553,075	$936,127	$2,584,995	$2,584,995
Indirect	$252,513	$0	$252,088	$0	$255,307	$0	$258,500	$0
Total Costs	**$2,787,640**	**$929,546**	**$2,772,969**	**$924,323**	**$2,808,382**	**$936,127**	**$2,843,495**	**$2,584,995**

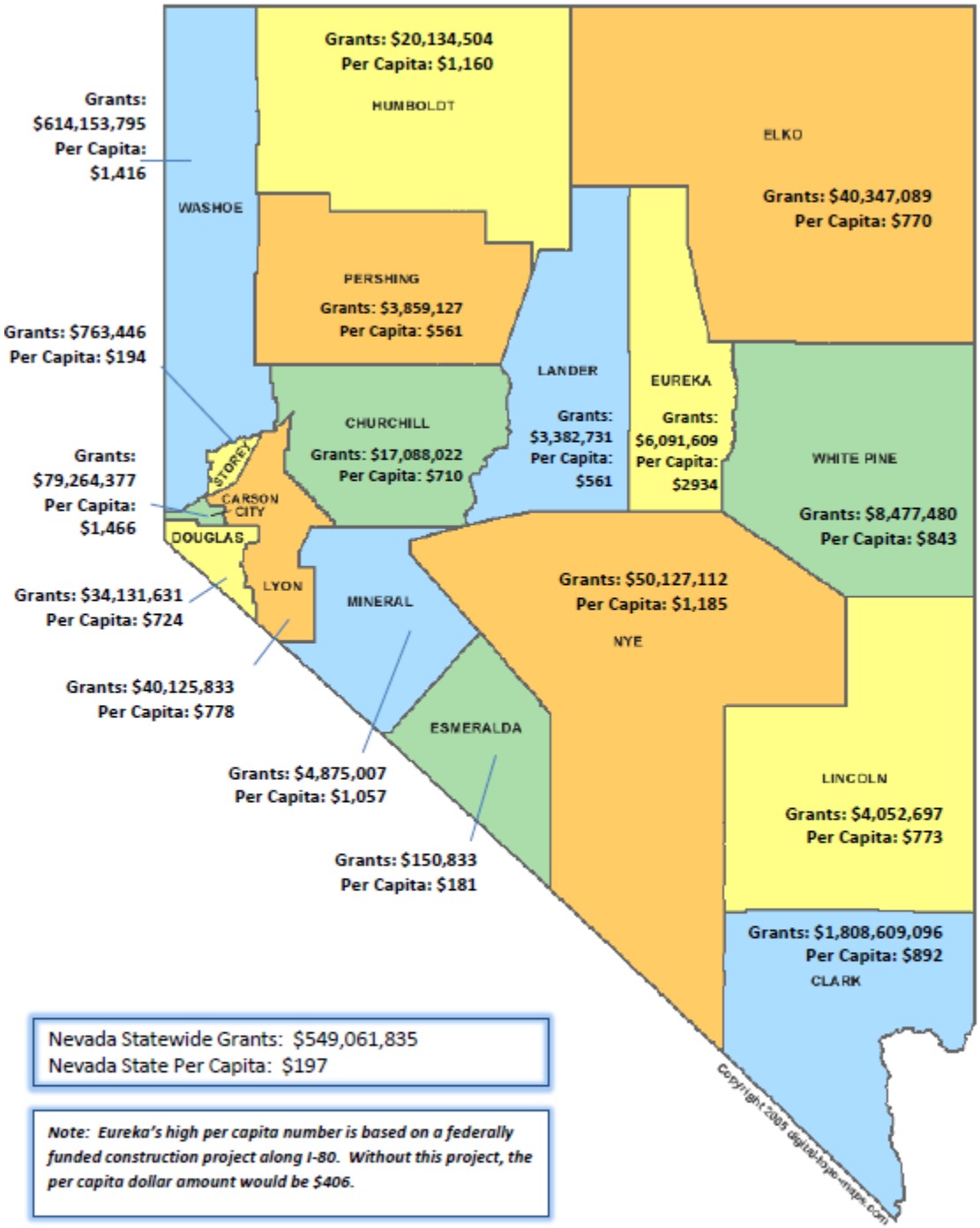
CATEGORICAL SUMMARY of DIRECT FEDERAL COSTS

Category	Year 1 or %	Year 2 or %	Year 3 or %	Year 4 or %
Infrastructure	$620,746 or 24 %	$599,372 or 24%	$622,592 or 24%	$646,741 or 25%
Data & Evaluation	$362,022 or 14%	$364,503 or 14%	$367,084 or 14%	$369,766 or 14%
Services & Support	$1,552,359 or 61%	$1,557,006 or 62%	$1,563,399 or 61%	$1,568,488 or 61%

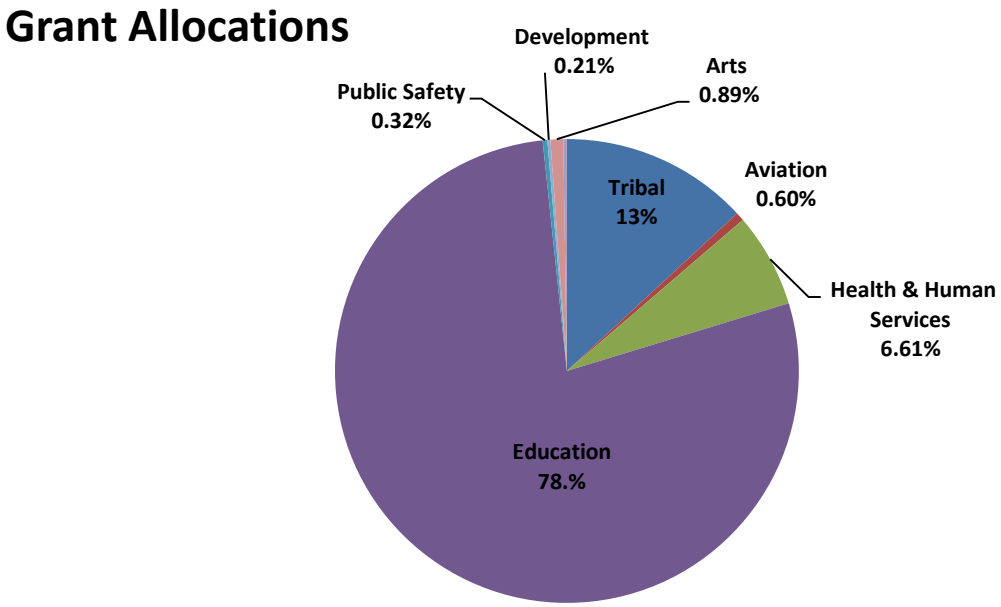
APPENDIX E
COUNTY LEVEL GRANT REPORTING EXAMPLE

CFDA	Carson	Clark	Churchill	Douglass	Elko	Esmerelda	Eureka	Humboldt	Lander	Lincoln	Lyon	Mineral	Nye	Pershing	Storey	Washoe	White Pine	TOTAL	Federal Total for FY14 - Should balance to this number
17.207																			$ 6,529,606
17.225																			$ 31,014,382
17.235																			$ 459,622
17.245																			$ 416,716
17.258																			$ 9,537,378
17.259																			$ 8,865,521
17.271																			$ 111,841
17.273																			$ 83,953
17.275																			$ (244,649)
17.277																			$ 1,830,497
17.278																			$ 14,355,920
84.126																			$ 17,337,310
84.169																			$ 305,350
84.177																			$ 260,523
84.187																			$ 170,800
																			$ 91,034,770.00

EXAMPLES OF HOW THE COUNTY DATA IS USED



State of Nevada FFY14 Grant Expenditures & Per Capita


Grant Allocations
Development
0.21%
Arts
0.89%
Public Safety
0.32%
Tribal
13%
Aviation
0.60%
Health & Human
Services
6.61%
Education
78.%

APPENDIX F
SUB-RECIPIENT GRANT AGREEMENT EXAMPLE

Nevada Department of Education
700 E Fifth Street
Carson City, Nevada 89701
(775) xxx-xxxx

SUB-GRANT AGREEMENT

This Sub-grant Agreement is entered into between the Nevada Department of Education (referred to as 'Grantor") and Lyon County School District (referred to as "Sub-grantee").

Sub-Grantee	Lyon County	**Grant Name**	
	School District	**Grant Identifier**	64034.2014
Address		**Award Amount**	$ 76,000
		Performance Period	1/01/2015 – 12/31/2015
Contact Name		**Contact Title**	
Contact Phone		**Contact Email**	

Under the terms and conditions of this Agreement, the sub-grantee agrees to complete the Project as described in the project description, and the State of Nevada, Department of Education agrees to fund the Project not to exceed the Award Amount for costs described in the cost description.

APPROVED BUDGET for PROJECT:

EXPENDITURE CATEGORY	BUDGET AMOUNT
Personnel	**$ 56,000**
Contractual	**$ 0**
Travel	**$ 2,000**
Supplies / Operating	**$ 6,0000**
Equipment	**$ 12,000**
Training	**$ 0**
TOTAL AWARD	**$ $76,000**

This award is subject to the requirements (federal, state financial and program assurances) established by the federal government, the State of Nevada, and the Nevada Department of Education as well as any local code, ordinances and policy. This award is subject to the availability of federal funding. Special Conditions: This project is approved subject to the conditions and limitations set forth on the following page(s): Financial and Program Assurances, Federal Certifications, Scope and Timeline of Work and Line Item Detailed Budget.

AGENCY APPROVAL	SUBGRANTEE ACCEPTANCE
John Doe, Chief Financial Officer	
Name and Title of Appointing Official	Name and Title of Authorized Official
X	**X**
Signature of Appointing Official Date	Signature of Authorized Official Date

TERMS AND CONDITIONS OF GRANT

The Grantee shall be responsible for the performance of the work as set forth herein below and for the preparation of products and reports as specified in this Agreement. The Grantee's Project Representative shall promptly notify the State of events or proposed changes that could affect the Work Plan under this Agreement.

ARTICLE I: RESPONSIBILITIES

Grantor agrees to:

A. Provide funding to Sub-grantee in accordance with this Sub-grant Agreement and Federal, state and local laws.
B. Monitor Sub-grantee to ensure the Sub-grant is used in accordance with all applicable conditions, requirements, and restrictions.
C. Provide information on current and any subsequent changes to the terms and conditions of the grant awards addressed in this Agreement.
D. Provide technical assistance and training to assist Sub-grantee, with the limits of available resources, in fulfilling its obligations under this Agreement.
E. Take action to recover funds that are not used in accordance with the conditions, requirements, or restrictions set forth in or incorporated by this Agreement.

Sub-grantee agrees to:

A. Ensure the funds subject to this Sub-grant Agreement are used in accordance with conditions, requirements and restrictions of federal, state and local laws, the federal terms and conditions of the grant award, and this Sub-grant Agreement.
B. [insert such financial reporting requirements for the SUBGRANTEE as are necessary for the county to meet its operational needs and obligations to NDVA and the federal government]
C. Monitor all private and governmental entities that receive payments from Sub-grants awarded under this Agreement to ensure that each such entity uses the funds in accordance with the applicable federal and state laws and the terms of this Agreement.
D. Take action to recover payments that are not used in accordance with the conditions, requirements, or restrictions set forth in this Agreement.
E. Promptly reimburse Grantor for any funds Grantor pays to any entity because of an adverse audit finding, adverse quality control finding, final disallowance of federal financial participation, or other sanction or penalty for which Grantor is responsible.
F. Take prompt corrective action, including paying amounts resulting from an adverse finding, sanction, or penalty, if Grantor, the Auditor of the State, any federal agency, or other entity authorized by federal, state or local law to determine compliance with the conditions, requirements, and restrictions applicable to the federal program from which this Sub-grant is awarded determines compliance has not been achieved.
G. Keep and maintain records that are sufficient for the preparation of reports required by law and submit all reports as requested and required by Grantor.
H. Make records available to Grantor, the Auditor of the State, federal agencies, and other authorized governmental agencies for review, audit and investigation.

ARTICLE II: PERFORMANCE

This Sub-grant Agreement will be in effect from designated performance period unless this Sub-grant Agreement is suspended or terminated prior to the established end-date.

Project Execution

A. Grantee agrees to complete the Project in accordance with the time of Project Performance Period, and under the terms and conditions of this Agreement. Extensions may be requested at least 90 days in advance of the date of termination and will be considered in the event of circumstances beyond the control of the Grantee, but in no

event subsequent to the end of the Project Performance Period as identified in the Work Plan as the Project's date of completion.

B. If the Project includes acquisition of real property, the property must be acquired from a willing seller and for no more than the appraised fair market value approved by Department of General Services. The Grantee agrees to comply with all applicable State (Chapter 16, Section 7260, Government Code) and local laws or ordinances effecting relocation and real property acquisition. Documentation of such compliance must be submitted to the State.
C. If the Project includes development, the Grantee shall comply with all applicable current laws and regulations affecting development projects, including, but not limited to, laws affecting health and safety, hazardous materials, historical preservation, environmental impacts, building standards, and the like. Documentation of such compliance will be made available for review upon request by the State.
D. Grantee agrees to periodic site visits by the State to determine if development work is completed in accordance with the approved work plan, scope etc. including a final inspection upon grant closeout.
E. Grantee agrees to submit in writing, any deviation from the attached work plan, scope etc. to the State for approval prior to implementation of changes.

Project Work Plan, Scope, Deliverables (etc.)

(INSERT THE ACTIVITIES/GOALS/DELIVERABLES etc. THAT ARE BEING FUNDED AND EXPECTED TO OCCUR)

Project Costs

A. Subject to the availability of federal funds, the State hereby grants to the Sub-grantee a sum of money not to exceed the amount stated on page one (1) of this Agreement in consideration of and on condition that the sum be expended in carrying out the purpose as set forth in the Project Work Plan and under the terms and conditions set forth in this Agreement. Sub-grantee agrees to assume any obligation to furnish any additional funds that may be necessary to complete the Project. All costs accrued for services or supplies prior to the execution of Agreement are not eligible for reimbursement.
B. The Grant Amount to be provided to the Grantee, under this Agreement, may be disbursed as follows:
C. State may reimburse the sub-grantee upon submission of a payment request (using template provided) consistent with the Project Work Plan of this Agreement.
D. As a sub-recipient of federal funds, SUBGRANTEE hereby specifically acknowledges its obligations relative to the funds provided under this Sub-grant Agreement pursuant to all subparts of 2 CFR 200 as applicable under federal, state and local laws, and the A-133 Compliance Supplement.
E. Standards for financial management systems: sub-grantee will comply with the requirements of the code of federal regulations, including, but not limited to:
    - Fiscal and accounting procedures;
    - Accounting records;
    - Internal control over cash, real and personal property, and other assets;
    - Budgetary control to compare actual expenditures or outlays to budgeted amounts;
    - Source documentation; and
    - Cash management.
F. Matching or Cost Sharing as applicable, matching or cost sharing requirements applicable to the federal program must be satisfied by disbursements for allowable costs or third-party in-kind contributions and must be clearly identified and used in accordance with all applicable federal, state and local laws.
G. Program Income: Program income must be used and accounted for as specified in federal guidance as applicable to the sub-grantee
H. Equipment: Title, use, management (including record keeping, internal control, and maintenance), and disposition of equipment acquired by Sub-grantee or its sub-grantee(s) with Sub-grant funds, will be governed by the provisions the applicable CFR.

ARTICLE III: ADMINISTRATION

A. Sub-grantee agrees to provide all technical and administrative services as needed for Agreement completion. Sub-grantee agrees to monitor and review all work performed; and coordinate budgeting and scheduling to assure that the Agreement is completed within budget, on schedule, and in accordance with approved procedures, applicable laws, and regulations.

B. Sub-grantee ensures that the Agreement requirements are met through completion of Quarterly Progress Report, (using template provided) and through regular communication with the State adhering to the following schedule:
   - 1st Quarter January 1 - March 31 Due April 30
   - 2nd Quarter April 1 - June 30 Due July 30
   - 3rd Quarter July 1 - September 30 Due October 30
   - 4th Quarter October 1 - December 31 Due January 30

C. The State reserves the right to require reports more frequently than on a quarterly basis if necessary, but no more than once a month.

D. The Quarterly Progress Report (template provided) shall describe activities undertaken and accomplishments of each task during the quarter, milestones achieved, and any problems encountered in the performance of the work under this Agreement. The description of activities and accomplishments of each task shall be in sufficient detail to provide a basis for payment of invoices and shall be translated into percent of task work completed for the purpose of calculating invoice amounts. Progress reports should directly address tasks, timelines, deliverables, milestones and associated costs. Any adjustments that impact the Project Work Plan or Project Costs must be reviewed with the grantor project manager.

E. At the completion of this Project and prior to final payment, the sub-grantee shall complete a Project Certification Form (template provided) to the State.

F. Grantee must document steps taken in soliciting and awarding the subcontractors and submit them to the State for review and document all subcontractor activities in quarterly reports.

G. Grantee agrees to promptly submit reports as the State has requested in this Agreement or may request during the life of this Agreement.

ARTICLE IV: RECORDS

A. Sub-grantee must maintain documentation conforming to all requirements prescribed by NDE or by federal, state and local laws. Sub-grantee must prepare and maintain documentation to support all transactions and to permit the reconstruction of all transactions and the proper completion of all reports required by federal, state and local laws, and which substantiates compliance with all applicable federal, state and local laws.

B. Records must include sufficient detail to disclose:
   1. Services provided to program participants;
   2. Administrative cost of services provided to program participants;
   3. Charges made and payments received for items identified in (B) (1) and (2) of this article; and
   4. Cost of operating the organizations, agencies, programs, activities, and functions.

C. Sub-grantee must maintain all records relevant to the administration of this sub-grant for a period of 3 years from the closeout of the grant.

ARTICLE V: AUDITS

A. Sub-grantee agrees to provide for timely audits as required by OMB Circular A-133, unless a waiver has been granted by a federal agency. OMB Circular A-133, sub-grantee must ensure that it has an audit with a scope as provided in OMB Circular A-133, Subpart E, §_.500, that covers funds received under this agreement. Sub-grantee must send one (1) copy of the final audit report to Grantor within two (2) weeks of sub-grantee's receipt of any such audit report.

B. Additional responsibilities of sub-grantee as an auditee under OMB Circular A-133 include, but are not limited to:
   i. Proper identification of federal awards received.
   ii. Maintenance of appropriate internal controls.
   iii. Preparation of appropriate financial statements, including s schedule of federal awards expended.
   iv. Proper performance and timely submission of an OMB Circular A-133 audit report.
   v. Follow-up on audit findings, including the preparation of a summary schedule of prior audit findings and corrective action, if necessary, and the preparation of a corrective action plan.

C. Sub-grantee will take prompt action to correct problems identified in an audit.

APPENDIX G
GRANT RESULTS REVIEW EXAMPLE

10/15/2012

In response to your request, below is information concerning the independent review of Nevada's application to the Administration on Aging (AoA) for the funding opportunity "*Empowering Older Adults and Adults with Disabilities through Chronic Disease Self-Management Education (CDSME) Programs*," financed through the 2012 Affordable Care Act Prevention and Public Health Fund.

The application from Nevada received a mean score of 84.67 out of 100 possible points. The table that follows shows the breakdown of mean scores by evaluation criteria:

Selection Criteria	Maximum Number of Points	Reviewer Mean Points Assigned
Project Relevance & Current Need	15	**13.67**
Approach	35	**32**
Budget	10	**8.33**
Project Impact	20	**15.33**
Organizational Capacity	20	**15.33**
Total	100	84.67

During the panel discussion, the following overall strengths and weaknesses were noted:

Application's Overall Strengths:

- Statewide approach with diverse representation in rural and urban areas.
- Strong letters of support with commitment clearly identified.
- Use of ADRC portal for regional coordination.
- Formation of collaborative network to provide community based support for capacity development at the local level.
- Strong fidelity plan.
- Work plans for all 3 years reflect progress towards sustainability.

Application's Overall Weaknesses:

- Responsibility is assigned to committees without identification of who will be responsible.
- Inadequate description of ARRA grant experience and successes.
- Budget is high per person served.
- Most of action in year 1 deals with infrastructure.
- Roles of key staff not clearly defined.

Below is a summary of reviewer's comments by evaluation criteria:

A. Project Relevance & Current Need:
   - Need and gap is defined but ARRA grant success is not represented.
   - Clearly identified barriers and challenges.
   - Good description of targeted groups, including minorities, tribal and rural populations.

B. Approach:
   - Work plan is coherent and addresses challenges to expansion.
   - Delivery plans include specifics to include disabled adults but no partnerships with disability organizations are mentioned.

- AAA/ADRC structure and committees are identified but leadership is not identified.
- Not clear if applicant distinguishes between Stanford model DSMP and diabetes self-management education (page 12): appears to seek Medicare reimbursement for CDSMP.
- Work plan objectives in terms of personnel are not clear.
- Capacity is reasonable but no recruitment plan is defined.
- More specific program milestones are not included, e.g., how many training sessions, and how many, where and who will implement the CDSMP workshops.

C. Budget:
- Only one person budgeted for travel to annual conference.
- Budget and budget narrative not consistent.
- Budget request is high.

D. Project Impact:
- Goals and objectives are clear and consistent with grant purpose.
- QA and fidelity plans are strong.
- Sustainability plan is not clear.
- Not clear how centralized infrastructure will be managed beyond the grant funding.

E. Organizational Capacity:
- Applicant did not address results of ARRA grant.
- Leadership for committees needs to be more clearly identified – who will be responsible to carry out the work.
- Lines of reporting for the grant are not clear.
- Roles of state agency commitment is represented in letters of support and on work plan.
- Roles and responsibilities of key project managers are not well defined.

If you have any questions or would like to discuss your application further, do not hesitate to contact me. Thank you for your continued efforts on behalf of older adults and individuals with disabilities.

Sincerely,

Michele Boutaugh

Office of Nutrition and Health Promotion Programs
Administration on Aging

Administration for Community Living
Department of Health and Human Services
61 Forsyth Street, SW, Suite 5M69

Appendices H

Vendor or Sub- recipient Checklist

Determine whether the Second Party to a Contract is a Sub-recipient or a Vendor

Directions: Consider the terms and conditions of the contractual agreement when answering the questions below. If you answer YES to one or more of the characteristics described for a sub-recipient, treat the contract as a sub-grant and use the process described here for establishing a sub-recipient grant award. If you answer YES to one or more of the characteristics described for a vendor, treat the second party as vendor. If you believe that the secondary recipient has characteristics of a sub-recipient and a vendor, contact the Financial Services for assistance in determining which process to use.

Characteristics of a Sub-recipient					
No.	Question	Response			Comments
		Y	N	NA	
1	Does the second party to the agreement determine who is eligible to receive what Federal financial assistance?				
2	Does the second party to the agreement have its performance measured against whether the objectives of the Federal program are met?				
3	Does the second party to the agreement have responsibility for programmatic decision-making?				
4	Does the second party to the agreement have responsibility for adherence to applicable Federal program compliance requirements?				
5	As compared to providing goods or services, is the second party to the agreement responsible for using the Federal funds only for the purposes of the Federal program?				
Conclusion regarding whether the second party to the agreement is a sub-recipient:					

Characteristics of a Vendor					
No.	Question	Response			Comments
		Y	N	NA	
1	Does the second party to the agreement provide the goods and services within normal business operations?				
2	Does the second party to the agreement provide similar goods or services to many different purchasers?				
3	Does the second party to the agreement operate in a competitive environment?				
4	Does the second party to the agreement provide goods or services that are ancillary to the operation of the Federal program?				
5	Is the second party to the agreement ***not*** subject to compliance requirements of the Federal program?				
Conclusion regarding whether the second party to the agreement is a vendor:					

APPENDIX I
GRANT AWARD TEMPLATE
(AGENCY VERSION SHOULD BE INCLUDED ON ALL GRANTS)

GRANT AWARD FORM
Internal Use Only-for Grant File

Federal Grant Title: _____ FAIN: _____

Principle Investigator/Project Manager: _____
Title: _____
Employee ID #: _____

Grant Performance Period: from _____ to _____

Federal Reporting Required:
Fiscal: ❑ Monthly ❑ Quarterly ❑ Bi-annual ❑ Annual
Program: ❑ Monthly ❑ Quarterly ❑ Bi-annual ❑ Annual
Other: _____
_____

TOTAL AWARD: _____
Total Direct Cost: _____

Total Indirect Cost: _____
Rate Used: _____

Sub-Recipient #: _____ $: _____

Match %: _____ Match $: _____
Received from: _____

Milestones / Deliverables

A.
B.
C.
D.
E.
F.
G.
Unexpected:

Assigned Grant Identifiers

Agency: _____
Budget Account: _____ Cat: _____
Job Number: _____

Cost Description	Object Code
Personnel	1000
Contractual	1100
Training	1200
Equipment	1300
Supplies	1400
Travel	1500

OBJECTIVES	Metric Used to Measure Objective	Anticipated Completion Date	Actual Completion Date	Outcome
1.				
2.				
3.				

- ❑ All expenditures, reimbursements to sub-grantees and revenues are posted to grant account.
- ❑ All outstanding encumbrances have been cleared.
- ❑ All expenditures are allowable and allocable to grant.
- ❑ Completed reconciliation (grant acct, draw, and expenses)
- ❑ Adjusted Unexpended Appropriation / Work Program

ACTUAL EXPENDITURES

Direct Costs: $ _____
Indirect Costs: $ _____
Match: $ _____

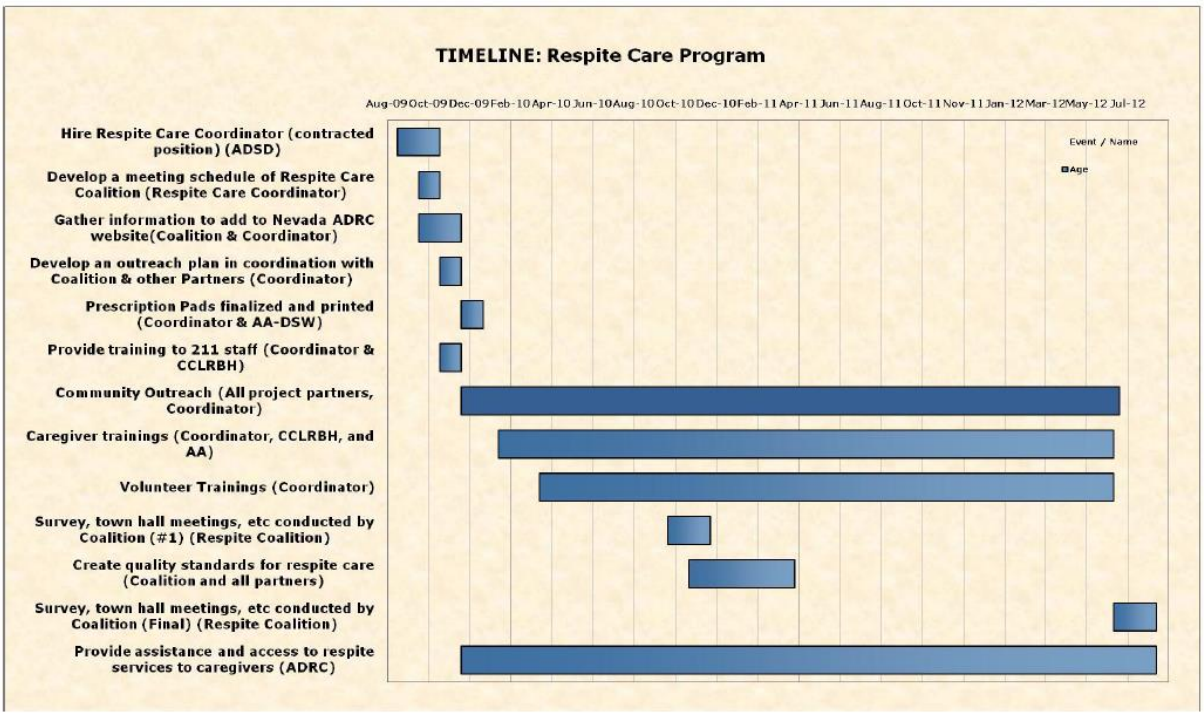
Total Grant Expenditures at Close-out $ _____

Notes for Future Review & Audit

By signing this form you are indicating your authorization and approval to close this federal grant award and that to the best of your knowledge the information contained is accurate and truthful.

_____ _____
Principle Investigator / Project Manager Date Administrative Officer / Director Date

APPENDIX J
EXAMPLES OF TIMELINES 1 OF 2



Example 2 of 2

	Coordinator on Annual Evaluation Design **Deliverable 1: Provide Technical Assistance to State Early Childhood Education**	
1.1	Evaluator reviews evaluation design and advises Nevada Department of Education (NDE) on issues that arise on the annual evaluation of the Nevada State Pre-K program.	On-going
	Deliverable 2: Develop and Implement Annual Data Collection Procedures	
2.1	Evaluator updates Nevada ECE Information System (forms) to collect data on the revised annual evaluation design.	**September 1, 2014**
2.2	Evaluator revises web-based data collection system to collect the data from the Nevada ECE Information System for 2014-15.	**September 30, 2014**
2.3	Evaluator collects data on continuing families and inputs their data into the Nevada ECE Information System.	**October 1, 2014**
2.4	Evaluator monitors data entry from project sites.	**On-going**
2.5	Evaluator provides brief, quarterly reports to NDE on the status of data collection and evaluation activities.	**Sept. 30, & Dec. 31, 2014; March 31 & June 30, 2015**

	Deliverable 3: Develop and Implement Longitudinal Data Collection Procedures for two Nevada ECE Cohorts	
3.1	Evaluator develops draft research design and data collection procedures on longitudinal evaluation of two Nevada ECE Cohorts.	**December 1, 2014**
3.2	Evaluator presents draft research design to NDE staff.	**December 11, 2014**
3.3	Evaluator meets with NDE staff to finalize longitudinal evaluation.	**January 20, 2015**
3.4	Evaluator explains draft data collection procedures, timelines and reporting requirements to Nevada ECE directors.	**February 10, 2015**
3.5	Evaluator hires test administrators to implement longitudinal evaluation procedures for one Nevada ECE Cohort.	**March 2015**
3.6	Evaluator works closely with Nevada ECE Projects to implement longitudinal student data collection procedures (testing).	**March-May 2015**
3.7	Evaluator works closely with NDE staff to collect data for longitudinal evaluation (test scores and related data elements).	**March-May 2015**
	Deliverable 4: Help Local Projects Set-up Annual Data Collection	
4.1	NDE informs local projects that Pacific Research continues as the evaluation contractor for the Nevada ECE program.	**August 2014**
4.2	PRA presents annual Nevada ECE evaluation design, data collection procedures, timelines and the Nevada ECE Information System (forms only) to directors at Director's Meeting.	**August 2014**
4.3	PRA conducts site visits to three projects to trouble shoot evaluation procedures. (Sites selected by Nevada ECE Coordinator).	**Ongoing**
4.4	NDE informs projects to submit data mid-year to PRA for review and provide technical assistance where needed.	**January 2015**
4.5	PRA contacts projects intermittently to determine data collection needs and be available (on–call) to answer evaluation questions.	**On-going**
	Deliverable 5: Conduct Site Visits for the Annual Evaluation	
5.1	PRA and NDE reviews protocol, procedures, and data collection instruments for conducting site visits to develop program descriptions of each project.	**December 2014**
5.2	PRA conducts site visits with 11 projects (13 sites) to describe the early childhood program and other program activities for 2014-15. (To be integrated into TQRIS district model starting in 2016)	**March - May 2015**
	Deliverable 6: Provide Ongoing Technical Assistance to Local Projects	
6.1	PRA informs local Early Childhood Education projects of contact procedures.	**August 2014**
6.2	PRA returns all telephone calls & emails from local projects about data collection procedures by the second working day.	**On-going**
6.3	PRA updates NDE and all local projects on evaluation and data collection issues identified by individual projects.	**On-going**

	Deliverable 7: Write Annual and Longitudinal Evaluation Report	
7.1	PRA collects data from local projects for the longitudinal evaluation of two Nevada ECE cohorts.	**March to May, 2015**
7.2	PRA summarizes and analyzes longitudinal evaluation data.	**June 15, 2015**
7.3	PRA collects data from local projects for the annual evaluation.	**June 15, 2015**
7.4	PRA summarizes and analyzes annual evaluation data.	**July 1, 2015**
7.5	PRA submits draft Annual and Longitudinal Evaluation Report to NDE.	**August 31, 2015**
7.6	NDE reviews/comments on draft Annual and Longitudinal Evaluation Report.	**September 15, 2015**
7.7	PRA revises draft Annual and Longitudinal Evaluation Report and submits to NDE.	**September 30, 2015**

APPENDIX K
EXAMPLE OF OBJECTIVES WITH MEASURED OUTCOMES

Objective 1.4: Implement a Comprehensive Learning Assessment System
Activity/Milestone: Implement Pre-K child assessment(s) in all quality Pre-K programs. **Timeline:** Q3 2015 – Q4 2017 (as each seat comes on-line) **Responsible:** Pre-K Education Program Professionals **Measured Outcome:** 1) Develop baseline of assessments currently used assessments; 2) selected assessments for use statewide; 3) % increase in reading readiness; receptive and expressive vocabulary; 4) % Increase in English language acquisition; and 5)% programs using identified assessment.
Activity/Milestone: Create professional development opportunities for KEA. **Timeline:** Q3 2015 – End of Grant **Responsible:** Pre-K Professional Development **Measured Outcome:** 1) # trainings developed; 2) # attendees at attended, per site; 3) % of new Pre-K Classrooms receiving PD; 4) Training Survey (Customer satisfaction) *(PD provided at each Pre-K site, twice a year.)*
Activity/Milestone: Train Pre-K, Special Education and ELL educators and staff on how to share the results with families. **Timeline:** Q2 2016 **Responsible:** Pre-K Professional Development **Measured Outcome:** 1) % teachers trained; 2) % teachers indicating they understand how to use family assessments; 3) % teachers indicating knowledge of sharing results with families; Pre- and Post-Test; % of teachers sharing results with families; 4) Average % increase in scores between pre-test vs post-test, goal is 25% increase; 5) Develop Policy and Procedures for sharing assessment data; 6) Information for parents (Spanish and English).
Activity/Milestone: Identify/Implement Pre-K screening tool to identify supports for children **Timeline:** Q3 2016 **Responsible:** Pre-K Education Program Professionals **Measured Outcome:** 1) % of programs using Ages and Stages Questionnaire (ASQ) as universal screener for 0-5 programs; 2) % of classrooms utilizing the screening; 3) % of Pre-K classrooms trained; 4) % of Programs working towards Quality Pre-K trained; and 5) % of students who qualify for and receive support services (special education or intervention) as evidence by individual educational programs (EIP). *(Screening tools implemented in all high-quality Pre-K classrooms by July 1, 2016.)*

APPENDIX L
FINANCIAL ASSURANCE EXAMPLE

Financial Assurances

The sub-grantee hereby assures compliance with the following conditions as part of the Notice of Grant Award: A monthly financial report shall be submitted to the Office of Criminal Justice Assistance (OCJA) no later than 30 days following the close of each month of the grant period. Financial reports (claims) must be submitted on the approved form available on the OCJA web page http://www.ocj.nv.gov.

1. The **final** financial claim form must be submitted to OCJA no later than 25 days following the end of the grant period. Late reports, unless approved by OCJA, will result in non-payment of final claim.

2. Grantee/Sub-grantee understands that, except for extraordinary circumstances handled on a case-by-case basis, requests to transfer funds between budget categories or requests to purchase items not previously authorized, will not be approved. Written approval must be obtained from the OCJA prior to the transfer of funds between budget categories or the expenditure of funds for newly identified items. Requests must be made on the Project Change Request form available on the OCJA web page.

3. During the last 60 days of the grant period, requests to purchase items not previously authorized in the grant award **will not be approved**. Emergency purchases will be considered on a case-by-case basis. Transfer of funds between budget categories during the last 60 days of the grant period expressly to purchase equipment items not previously authorized in the grant award **will not be approved**.

4. Grant revenue and expenditure records must be maintained and made available to OCJA for audit.

5. OCJA retains the right to terminate this grant for cause at any time before completion of the grant period when it has determined the grantee/sub-grantee has failed to comply with the conditions of the grant award.

6. Financial management must comply with the requirements of 2 CFR Part 200 Subparts A through F and all appendices, which is incorporated into this agreement by reference.

7. All grant expenditures are to be reasonable and allowable in accordance with 2 CFR Part 200 Subparts A through F and all appendices which are incorporated into this agreement by reference.

8. Grantee/sub-grantee shall comply with the audit requirements of the Single Audit Act Amendment of 1986 and OMB Circular A-133, which is incorporated into this agreement by reference to include the required submission of the most recent annual independent audit, as prescribed in sections 310 and 315 and section 320, paragraph f.

9. Required documentation for the performance of internal audits must be provided upon OCJA request within 30 days. Grant closeout is contingent upon OCJA audit and resolution of any discrepancies.

Name:_____ Title:_____

Signature: _____ Date: _____

This document must be signed by the County Manager/Chief Financial Officer/Tribal Chairman or his/her designee or the state agency director as appropriate.

APPENDIX M
EXAMPLE FOR COMPLIANCE WITH FEDERAL CIVIL RIGHTS FOR SUBRECIPIENTS

Federal Civil Rights Compliance Checklist

1. **If the subrecipient is required to prepare an Equal Employment Opportunity Plan (EEOP) in accordance with 28 C.F.R. §§ 42.301-.308, does the subrecipient have an EEOP on file for review?**

↑ Yes No
If yes, on what date did the subrecipient prepare the EEOP?

2. **Has the subrecipient submitted an EEOP Short Form to the Office for Civil Rights (OCR), Office of Justice Programs (OJP), U.S. Department of Justice (DOJ), if required by 28 C.F.R. §§ 42.301-.308? If the subrecipient is not required to submit an EEOP Short Form to the OCR, has it submitted a certification form to the OCR claiming a partial or complete exemption from the EEOP requirements?**

↑
Yes – submitted an EEOP Short Form ↑Yes – submitted a certification ↑No

If the subrecipient prepared an EEOP Short Form, on what date did the subrecipient prepare it?

3. **How does the subrecipient notify program participants and beneficiaries that it does not discriminate on the basis of race, color, national origin, religion, sex, disability, and age in the delivery of services (e.g. posters, inclusion in brochures or other program materials, etc.)?**

Comments:

4. **How does the subrecipient notify employees that it does not discriminate on the basis of race, color, national origin, religion, sex, and disability in employment practices (e.g. posters, dissemination of relevant orders or policies, inclusion in recruitment materials, etc.)?**

Comments:

5. **Does the subrecipient have written policies or procedures in place for notifying program beneficiaries how to file complaints alleging discrimination by the subrecipient with the [State Administering Agency] or the OCR?**

↑ Yes No

If yes, an explanation of these policies and procedures:

6. **If the subrecipient has 50 or more employees and receives DOJ funding of $25,000 or more, has the subrecipient taken the following actions:**

a. *Adopted grievance procedures that incorporate due process standards and provide for the prompt and equitable resolution of complaints alleging a violation of the DOJ regulations implementing Section 504 of the Rehabilitation Act of 1973, found at 28 C.F.R. Part 42, Subpart G, which prohibit discrimination on the basis of a disability in employment practices and the delivery of services.*

↑ Yes No

b. *Designated a person to coordinate compliance with the prohibitions against disability discrimination contained in 28 C.F.R. Part 42, Subpart G.*

↑ Yes No

c. *Notified participants, beneficiaries, employees, applicants, and others that the subrecipient does not discriminate on the basis of disability.*

↑ Yes ↑No

Comments:

7. If the subrecipient operates an education program or activity, has the subrecipient taken the following actions:

a. *Adopted grievance procedures that provide for the prompt and equitable resolution of complaints alleging a violation of the DOJ regulations implementing Title IX of the Education Amendments of 1972, found at 28 C.F.R. Part 54, which prohibit discrimination on the basis of sex.*

↑ Yes No

b. *Designated a person to coordinate compliance with the prohibitions against sex discrimination contained in 28 C.F.R. Part 54.*

↑ Yes No

c. *Notified applicants for admission and employment, employees, students, parents, and others that the subrecipient does not discriminate on the basis of sex in its educational programs or activities.*

↑ Yes ↑No

Comments:

8. Has the subrecipient complied with the requirement to submit to the OCR any findings of discrimination against the subrecipient issued by a federal or state court or federal or state administrative agency on the grounds of race, color, religion, national origin, or sex?

↑ Yes ↑No

Comments:

9. What steps has the subrecipient taken to provide meaningful access to its programs and activities to persons who have limited English proficiency (LEP)?

Comments, including an indication of whether the subrecipient has developed a written policy on providing language access services to LEP persons:

10. Does the subrecipient conduct any training for its employees on the requirements under federal civil rights laws?

↑ Yes ↑No

Comments:

11. If the subrecipient conducts religious activities as part of its programs or services, does the subrecipient do the following:

a. *Provide services to everyone regardless of religion or religious belief.*

↑ Yes ↑No

b. *Ensure that it does not use federal funds to conduct inherently religious activities, such as prayer, religious instruction, or proselytization, and that such activities are kept separate in time or place from federally-funded activities.*

↑Yes ↑No

c. *Ensure that participation in religious activities is voluntary for beneficiaries of federally-funded programs.*

Yes ↑No

Comments:

APPENDIX N
SUCCESSFUL GRANT APPLICATION EXAMPLE
(HUNGER GRANT USED AS AN EXAMPLE)

APPLICATION PROJECT SUMMARY

Nevada's young children experience hunger and food insecurity at higher rates than others in the State's population. The prevalence of Nevada households with food insecurity among children is tied at the 4th highest in the Nation at 28.1% --- the US rate is 21.6%.

Nevada's Supplemental Nutrition Assistance Program (SNAP) Enhancement Demonstration Project will determine if an increase to SNAP benefits, and/or an increase to SNAP benefits AND additional outreach, education, and case management, reduce childhood food insecurity over a twelve-month time frame, for children (ages 5 and under) living in households with incomes that are 75% below the federal poverty level (FPL) and located in 12 neighboring zip codes of Las Vegas (Clark County) that have elevated levels of food insecurity.

The project design will allow the FNS Federal evaluator to assess the degree to which these alternative models for enhanced SNAP benefits with or without additional supports are likely to reduce or eliminate food insecurity for families and thus alleviate hunger for the children that are the focus of the project. The proposed demonstration project will incorporate one control group and two cohorts:

1) **Control** Group (***n = 5,000***): This cohort will be comprised of the eligible households in the identified zip code cluster that receive the regular benefits that are part of Nevada's SNAP program to help low-income families buy nutritious food from authorized retailers.

2) **SNAP-E** Cohort 1 (***n = 2,500***): SNAP-E households will receive a $40 monthly increase in SNAP benefits, per eligible child.

3) **SNAP-E Plus** Cohort 2 (***n = 2,500***): ***SNAP-E Plus*** households will receive a $40 monthly increase in SNAP benefits, per eligible child, **PLUS** additional outreach, education and case management.

The overall goals of this project are to reduce food insecurity, improve nutrition, and improve household economic stability in order to eliminate child hunger by: 1) increasing access to food by increasing SNAP benefits; 2) increasing enrollment of SNAP participants into the WIC program and all other Federal food and nutrition benefits for which they are eligible; and 3) providing targeted education to increase healthy shopping habits. Nevada's project will leverage SNAP to accomplish these goals, which reached an all-time high of 402,362 participants in 2014.

This project will be collaboratively managed and implemented by the Nevada Divisions of Public and Behavioral Health (DPBH) and Welfare and Supportive Services (DWSS), with support from the Nevada Department of Agriculture (NDA) Division of Food and Nutrition. The project aligns with Nevada's strategic plan to eliminate food security and has the full support of the Governor's Council on Food Security because it responds to key priorities in the plan with an innovative, evidence-based approach that is likely to reduce childhood hunger in Nevada.

PROJECT NARRATIVE

1. Demonstration Project Design and Implementation Plan

The following is the *Gap Analysis* designed to document available resources and services, barriers, unmet needs, and the elevated levels of food insecurity and nutrition assistance program coverage shortages. Food *security*, as defined by the USDA, is access by all people at all times enough food for an active, healthy life. Food *insecurity* is defined as unable to acquire adequate food for one or more household members because they had insufficient money and other resources for food.

Geography
By geographical size, Nevada is the 7th largest state in the nation with a large majority of the state being vast, sparsely populated areas. Although Nevada is not yet a majority-minority state, Nevada has a minority population of 42%.[2] Nevada's largest county by population is Clark County, located in Southern Nevada. According to 2014 Census data, 72 percent of the state's population resides in Clark County and 89.9 percent of Nevada's total population is contained in Clark, Washoe and Carson City counties.[3]

Nevada's high desert environment and arid climate makes farming here more challenging. It takes a lot of water to grow and process food crops. Increasing production, processing, and the purchase of locally grown food in Nevada are essential to making healthy food accessible and affordable for all.

A lack of good nutrition education leads many people in the state to spend money on less healthy fast food options instead of spending the same amount of money on locally produced sources of food that could be prepared at home and would be healthier. Some people who have food insecurity issues will try to take in as much food as possible without considering the nutritional value of the food they consume. This can also impact their children by leading them to form poor eating habits that will influence their food choices throughout their lives.[4]

Background: The Problem of Childhood Hunger in Nevada
Nevada is one of only ten states in the nation with a prevalence of food insecurity which is **above** the national average.[5] With the national recession hitting Nevada particularly hard, more and more families have fallen below the poverty line. From 2007 to 2010, the number of households in Nevada that were food insecure jumped from 10% to 15%.[6]

Table 1: Food Insecurity in Nevada

Food Insecurity Among Nevada Households[7]			
	2012	**2011**	**2010**
Number of Households that are Food Insecure	165,679	146,403	149,000
Percent of Households that are Food Insecure	16.6%	15.3%	14.7%
Number of Households that are Very Low Food Insecure	71,395	73,182	54,000
Percent of Households that are Very Low Food Insecure	6.7%	6.0%	5.4%

Unemployment is a strong predictor of food insecurity.[8] As of 2011, 34% of Nevada's children live in a home whose parents lack secure employment as compared to the national average of 32%. During 2012, the Clark County unemployment rate was 8.3%; Nevada was at 7.9% compared to the U.S. at 5.9%.[9]

Difficult economic conditions in Nevada have led to an increase in the number of households that are food insecure, meaning that they do not have "access at all times to enough food for an active, healthy life for all household members." From 2007 to 2010, Nevada experienced a 50 percent increase in households that were food insecure, compared to the

[2] Healthy People Nevada, 2010-2020
[3] U.S. Census Bureau, 2010 Census (2011) *Profile of General Population and Housing Characteristics: 2010* Demographic Profile Data GEO: Clark County, NV Retrieved 6/10/14 via website http://nvdemography.org/wp-content/uploads/2011/05/Clark.pdf
[4] Food Security in Nevada: Nevada's Plan for Action, 2/7/2013, pg. 3.
[5] Alisha Coleman-Jensen, Mark Nord, and Anita Singh. *Household Food Security in the United States in 2012*. Economic Research Report No. (ERR-155) 41 pp, September 2013.
[6] U.S. Department of Agriculture, Economic Research Service
[7] FRAC – Profiles of Hunger, Poverty, and Federal Nutrition Programs: frac.org/reports-and-resources/national-and-state-program-data *Updated Dec. 1, 2013*.
[8] Feeding America, Hunger in America: Hunger and Poverty Statistics, Retrieved 6/9/14 www.feedingamerica.org.
[9] US Census, American FactFinder, Selected Economic Characteristics, "2012 American Community Survey 1-Year Estimates".

number of households prior to the recession.[10] The Annie E. Casey Foundation's 2013 Data Book[11], ranked Nevada in the bottom lowest (48th out of 50) in overall child well-being across four domains: (1) Economic Well-Being, (2) Education, (3) Health and (4) Family and Community. Approximately 36% of Nevada children live in single-parent families.

Current SNAP Participation

Millions of low-income people in America's big cities and urban counties are benefitting from Supplemental Nutrition Assistance Program (SNAP). Caseloads have grown substantially in the past few years, in Nevada and nationally –even before the recession - and the rate of growth has accelerated. However, millions more people are eligible for SNAP benefits but not participating in the program. Many SNAP offices in cities are overburdened, with caseworkers handling very large caseloads with many low-income children falling through the cracks. Clark County, Nevada, experienced the **highest** rate of growth in SNAP caseloads in the nation at 134% from May 2005 to May 2010.[12]

As a result, needy low-income people – and their cities – are missing out on billions of dollars in unclaimed federal funds.[13] In Clark County, it is estimated that there was **$40,059,721** in unclaimed SNAP benefits in 2008 (the most recent year for which census data is available to calculate the number of people potentially eligible for SNAP).[14]

Background for the Demonstration Project

At the height of the recession, Nevada's Governor Brian Sandoval met with the Secretary of Agriculture at the 2010 National Governors Association meeting to discuss issues related to the State's food and nutrition programs. This conversation underscored the food insecurity crisis experienced by too many of Nevada's vulnerable families. In follow-up, Governor Sandoval tasked his Cabinet members to assess how to streamline the administration of the State's food and nutrition programs in order to improve access to nutrition and reduce hunger for Nevadans.

On February 12, 2014, Governor Sandoval issued an Executive Order establishing the Governor's Council on Food Security within the Department of Health and Human Services (DHHS) newly formed Office of Food Security. Appointed Council members were charged with implementing the goals of *Food Security in Nevada: Nevada's Plan for Action*[15]*, to* effectively improve the quality of life and health of Nevadans by increasing food security throughout the state. The plan is organized into four strategic focus areas that will collectively establish long-term food security in Nevada:

> ***Grow***: Addresses food issues related to economic development and agriculture business
> ***Feed:*** Focuses on eligibility, outreach, access, and nutrition education
> ***Reach***: Deals with logistics, execution, purchase, storage, and distribution
> ***Lead:*** Encompasses policy development and resource leveraging related to food security

The demonstration project described in this proposal directly aligns with Nevada's strategic plan and has the full support of the Governor's Council on Food Security because it responds to key priorities identified in the "Feed" and "Reach" focus areas by implementing an innovative solution that is highly likely to contribute to ending childhood hunger in Nevada.

Nevada's demonstration project will increase SNAP benefits, provide targeted education, and increase case management to reduce childhood food insecurity over a twelve-month time frame, in 12 neighboring zip codes of Clark County that have elevated levels of food insecurity, high levels of unemployment, and are at or below 75% of the Federal Poverty Level (Table 2).

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[10] U.S. Department of Agriculture, Economic Research Service, chart on pg. 20.
[11] Annie E. Casey Foundation's KIDS COUNT Data Book, 2013.
[12] Food Research and Action Center – SNAP Access in Urban America, January 2011, pg. 6.
[13] Ibid.
[14] Ibid.
[15] Social Entrepreneurs, Inc. *Food Security in Nevada: Nevada's Plan for Action.* Nevada Department of Health and Human Services Division of Public and Behavioral Health, 2012.

Nevada's proposed project design is reinforced by the evidence-based findings in the Food Research Action Center's (FRAC) *Review of Strategies to Bolster SNAP's Role in Improving Nutrition as well as Food Security,*[16] and is also supported by the findings in FRAC's 2009 position paper, *Ending Childhood Hunger by 2015: The Essential Strategies for Achieving the President's Goal.*[17] Both of these publications underscore that specific interventions show significant promise for helping to reduce hunger and food insecurity for children and the households in which they live.

Project Design and Methodology

The purpose of the SNAP-Enhancement demonstration project is to identify what factors, if any, reduce or alleviate food insecurity.

Proposed Service Area Demographics (Las Vegas, Nevada) TOTAL of ALL GROUPS: 10,835												
	Control Group = 5,302				**SNAP-E Cohort 1 = 2,687**				**SNAP-E Plus Cohort 2 = 2,846**			
	89030	**89101**	**89106**	**89108**	**89110**	**89119**	**89142**	**89156**	**89104**	**89121**	**89122**	**89169**
POPULATION TOTAL	51,572	41,111	26,312	76,014	75,755	49,273	34,716	28,459	35,293	66,591	50,718	25,494
TOTAL Number of Children > 5	5,125	3,662	2,680	5,041	6,387	2,772	2,478	2,038	2,832	3,198	3,543	2,017
ETHNICITY												
White	9.3%	20.3%	14.9%	35.4%	21.8%	33.4%	8.5%	36.3%	29.3%	43.0%	37.5%	30.6%
Hispanic/ Latino	73.5%	61.8%	40.3%	43.4%	62.6%	42.8%	12.0%	45.8%	56.7%	40.1%	37.2%	46.2%
Black/African American	14.1%	12.1%	37.4%	13.2%	7.8%	10.8%	35.0%	10.2%	5.7%	8.3%	9.8%	12.3%
Asian	1.2%	3.1%	3.7%	3.7%	4.9%	8.6%	24.0%	3.6%	5.4%	4.5%	10.9%	6.7%
American Indian / Alaska Native	0.4%	0.6%	0.4%	0.5%	0.4%	0.5%	6.3%	0.7%	0.5%	0.6%	0.5%	0.6%
Native Hawaiian / Pacific Islander	0.2%	0.4%	0.5%	0.6%	1.4%	0.8%	10.8%	0.5%	0.5%	0.7%	0.7%	0.5%
Other or More Than One Race	1.3%	1.6%	2.8%	3.2%	2.1%	3.1%	3.3%	3.0%	2.0%	2.9%	3.4%	3.2%
UNEMPLOYMENT RATES												
	20.4%	**20.4%**	**20.5%**	**17.0%**	**16.8%**	**14.5%**	**10.1%**	**17.5%**	**18.8%**	**18.2%**	**15.7%**	**16.3%**
EDUCATION												
Less than 9th Grade	30.1%	21.7%	15.4%	11.0%	16.1%	9.1%	8.5%	10.3%	14.9%	8.8%	7.3%	13.1%
Some High School, No Diploma	23.0%	21.0%	18.9%	11.8%	17.1%	11.0%	12.0%	16.2%	16.7%	12.6%	11.3%	12.9%
High School	28.7%	30.7%	34.0%	34.5%	31.8%	35.7%	35.0%	34.2%	32.5%	32.8%	34.6%	33.9%

[16] Food Research Action Center, *A Review of Strategies to Bolster SNAP's Role in Improving Nutrition as well as Food Security*, updated January 2013. Washington, DC.

[17] Food Research Action Center, *Ending Childhood Hunger by 2015: The Essential Strategies for Achieving the President's Goal*, 2009. Washington, DC.

Graduate (or GED)												
Associate Degree	2.4%	3.3%	4.6%	6.0%	4.2%	4.9%	6.3%	5.4%	4.4%	5.4%	6.9%	5.7%
Bachelor's Degree	3.9%	4.9%	5.7%	9.8%	8.0%	11.2%	10.8%	8.1%	7.5%	10.6%	10.7%	11.4%
HOUSEHOLD INCOME												
Median Household Income ($)	30,600	22,375	27,657	42,531	42,752	32,069	49,501	46,575	31,838	39,314	42,021	29,184
Less than $15,000	22.8%	34.2%	29.1%	13.6%	13.5%	18.9%	9.5%	10.1%	19.3%	15.1%	12.8%	25.7%
$15,000 - $24,999	17.1%	20.7%	16.1%	13.9%	12.7%	17.5%	14.3%	11.1%	20.2%	15.6%	11.6%	17.0%
$25,000 - $34,999	17.3%	15.7%	15.8%	13.5%	13.7%	18.3%	10.8%	14.9%	15.5%	13.2%	15.3%	16.0%
$35,000 - $49,999	16.7%	12.2%	13.6%	18.4%	18.1%	17.0%	15.1%	18.3%	14.4%	18.3%	20.2%	16.7%
Number of Children Under 75% FPL	**1,949**	**1,180**	**1,056**	**1,117**	**1,367**	**555**	**388**	**377**	**712**	**734**	**778**	**622**
Percent Children Under 75% FPL	38%	32%	19%	22%	21%	20%	16%	19%	25%	23%	22%	31%
	Control Group = 5,302				**SNAP- E Cohort 1 = 2,687**				**SNAP- E Plus Cohort 2 = 2,846**			

The proposed demonstration project will incorporate a control group with two distinct cohorts, and is designed to ensure independent evaluation for effectiveness in reducing child food insecurity.

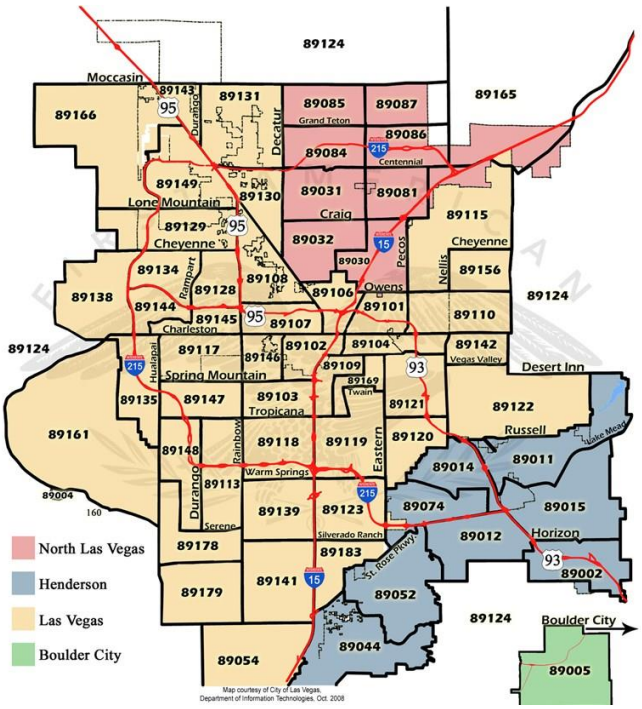
The Nevada Demonstration Project will measure existing food security through the Current Population Survey Food Security Supplement (CPS-FSS). The CPS-FSS has 18 core items for assessing food security of households with children, thus providing our demonstration project with baseline data at the beginning of the project and measurement for results at the end of the project.

According to the CPS-FSS, food security is determined by the number of food-insecure conditional and behaviors the household reports. Households are classified as having *low food-insecure* children if they report two or more food-insecure conditions among the children.

Further, *very low food-insecure* children are identified as those households in which food intake of one or more members was reduced and eating patterns disrupted because of insufficient money and other resources for food. The CPS-FSS measures this when the household reports eight or more food-insecure conditions.

All Nevada Demonstration Project participants (5,000 in the "control" group, 2,500 in cohort 1, and 2,500 in cohort 2) will complete the CPS-FSS at the start of the program. This will provide the baseline data. Secondly, the two cohorts will receive the project key components for 12-consecutive months. Finally, the CPS-FSS will be re-administered and the data will be analyzed to determine what level of intervention improved food security.

The overall demographics of Clark County meets the criteria of the program; by using the identified targeted clustered zip codes in Clark County, the program alleviates participant selection bias so that the control group cohorts are sufficiently comparable in the study.



"Normal" SNAP eligibility is already pre-determined. The Nevada Demonstration Project participant eligibility will be determined at the beginning of the 12-month program, with each cohort defined by the targeted zip code. Each eligible child participant will remain in the program provided they maintain their eligibility for normal SNAP benefits, even if they move out of the zip code area. Any SNAP recipient who moves into the targeted zip code *after* the program has started will **not** be eligible to participate. This will enable the FNS Evaluator to review the baseline date at a "point-in-time" at the beginning and end of the project.

1. **Control Group (n = 5,000):** This cohort will be comprised of the eligible households, per eligible child (age 0-5), in the identified zip code cluster that receive the regular benefits that are part of Nevada's federally funded SNAP program to help low-income families buy nutritious food from authorized retailers. SNAP benefits are available to qualifying families, elderly and/or disabled persons, and single adults who meet specific income, resource and other requirements.

2. **SNAP-E Cohort 1 (n = 2,500):** ***SNAP-E*** households will receive a $40 monthly increase in SNAP benefits, per eligible child (age 0-5), in conjunction with basic nutrition and healthy shopping education.

3. **SNAP-E Plus Cohort 2 (n = 2,500):** ***SNAP-E Plus*** households will receive a $40 monthly increase in SNAP benefits, per eligible child (age0-5), **PLUS** additional outreach, education and case management strategies that focus on improving healthy food selection and maximizing access to the full range of Federal child nutrition programs available, including: Women, Infants and Children Program, National School Lunch Program, School Breakfast Program, Child and Adult Care Food Program, Summer Food Service Program, and Food Distribution Program. ***SNAP-E Plus*** households will also be provided with targeted case management to facilitate improved economic stability for very low-wage earning families, in order ensure that these households are successfully accessing all of the food and nutrition benefits for which they are eligible.

Households that are selected to participate in the Nevada Demonstration Project will be given an option to *"opt out"* of the project if they do not wish to participate. Families identified for one of the two cohorts will be notified by mail, with information on the demonstration program. If they select the option to "opt-out", they will indicate this through a pre-paid form they will mail to the Project Coordinator. By instituting an opt-out versus opt-in approach, the burden on families that have already completed the SNAP Program application process will be reduced. The following table summarizes the services that will be delivered to each cohort:

Table 3: Participants

Control Group	Cohort 1 (*SNAP-E*)	Cohort 2 (*SNAP-E Plus*)
• Standard SNAP benefit • Basic nutrition education and healthy shopping tips	• Standard SNAP benefit, • Additional $40/month per child	• Standard SNAP benefit, • Additional $40/month per child • Basic nutrition education and healthy

	• Basic nutrition education and healthy shopping tips	shopping tips **PLUS** • Case management to link families to all available benefits

*For the purposes of this project, **"nutrition education"** is defined as any combination of educational strategies, accompanied by environmental supports, designed to facilitate voluntary adoption of food choices and other food-and nutrition-related behaviors conducive to health and well-being.*[18] *Nutrition education is delivered through multiple venues and involves activities at the individual, community, and policy levels.*

The project design will allow the FNS Federal evaluator to study and compare the control group with both cohorts in order to assess the degree to which these alternative models for enhanced SNAP benefits with or without additional supports is likely to reduce or eliminate food insecurity for families and thus alleviate hunger for the children that are the focus of the project and have the ability to be replicated throughout the Nation.

Demonstration Project Goal and Objectives

The overall goal of this project is to determine what will reduce food insecurity:

- Continuing current SNAP benefits, no changes (***Control Group***);
- Increasing access to food by increasing SNAP benefits (***SNAP-E***); or
- Increasing ability to access more food by increasing SNAP benefits; increasing enrollment of SNAP participants into the WIC program and all other Federal food and nutrition benefits for which they are eligible; and, providing targeted education to increase healthy shopping habits (***SNAP-E Plus***).

OBJECTIVE 1: Increase access to food by increasing SNAP benefits (*SNAP-E*)

In a report from USDA examining the potential impact of an increase in SNAP benefits on several measures of dietary quality, it was found that spending more money on food is associated with positive improvements in dietary quality, energy and nutrient density, and fruit and vegetable consumption.[19] The FRAC *Essential Strategies* paper contends that current SNAP benefit levels are too low to stave off hunger for a month, much less allow a family to purchase a healthy diet. According to FRAC, the allotment carries families only partially through any given month.[20]

The National Anti-Hunger Organizations (NAHO) stated in *A Blueprint to End Hunger* (2008) that "The root cause of hunger is a lack of adequate purchasing power in millions of households. When individuals and families do not have the resources to buy enough food, the result is hunger."[21]

The ***SNAP-E*** cohort will receive an additional $40 in SNAP benefits per month/per eligible child. Participants will receive "basic" education through the SNAP-Ed program. Upon conclusion of the demonstration project, data will be analyzed on what items the family purchased with the increased benefits and if their food security level had increased.

OBJECTIVE 2: Increase enrollment of SNAP participants into the WIC program and all other Federal food and nutrition benefits for which they are eligible (*SNAP-E Plus*)

Innovative and coordinated efforts to expand program outreach to help more eligible families receive other Federal funded nutrition programs in addition to SNAP benefits, can ultimately protect children from experiencing hunger as well as improve wellbeing for individuals and families.[22]

Anecdotally, there are many Nevadans unaware of the food and nutrition resources and services that they are eligible to receive. Because of this lack of understanding, there are hungry children in the targeted zip codes that are not enrolled or

[18] Definition has been adopted by the Society for Nutrition Education and Behavior authored by Dr. Isobel Contento.
[19] Mabli, J, et al. (2010). *Food Expenditures and Diet Quality among Low-Income Households and Individuals.* Report to the USDA Food and Nutrition Service. Washington, DC: Mathematica Policy Research, Inc.
[20] Ibid.
[21] National Anti-Hunger Organizations. *A Blueprint to End Hunger*. First issued in 2004. Updated in December 2008.
[22] Ibid.

do not access other food supplemental programs. By providing targeted case management, upon conclusion of the demonstration project, data will be analyzed on what additional programs the ***SNAP-E Plus*** participants enrolled in or accessed and if their food security level had increased.

Table 4: Average Daily Participation in Nevada

Average Daily Participation[23]			
	2012	**2011**	**2010**
SNAP *(Average Monthly Participation of Individuals)*	354,900	332,959	278,105
SNAP Average Monthly Benefit *(Per Person)*	$123.35	$124.35	$124.23
Women, Infants, and Children Program (WIC)	74,705	73,977	74,344
National School Lunch Program (NSLP)	200,185	215,617	207,737
School Breakfast Program (SBP)	91,409	84,320	60,550
Child and Adult Care Food Program (CACFP) *(Child Care Center Avg. Daily Participation of Children)*	12,714	11,124	8,327
Summer Food Service Program (SFSP) *(In July)*	13,292	12,266	31,291

Targeted case management for the ***SNAP-E Plus*** participants will be delivered by the grant funded **Project Coordinator.** The Project Coordinator will provide the following program information and assist with enrollment for:

- **The Special Supplemental Food Program for Women, Infants, and Children, commonly known as WIC**, is a preventive public health nutrition program with a goal to provide supplemental nutritious foods, nutrition and breastfeeding education, improved access to regular health care, and provide other social services to low and moderate-income women and young children. The foods provided through the WIC Program are designed to supplement participants' diets with specific nutrients. Different foods are provided to each category of participants. WIC foods include infant cereal, iron-fortified adult cereal, vitamin C-rich fruit or vegetable juice, eggs, milk, cheese, peanut butter, dried and canned beans/peas, and canned fish. Soy-based beverages, tofu, fruits and vegetables, baby foods, whole wheat bread, and other whole-grain options were recently added to better meet the nutritional needs of WIC participants.

- **National School Lunch Program (NSLP) and School Breakfast Program (SBP)** While it is not mandated that breakfast be offered in schools, 90.6 percent of the Nevada schools that provide the National School Lunch Program (NSLP) also offer breakfast, ranking Nevada 29th in the nation. But, Nevada ranked last in the nation (51st out of all 50 states, plus the District of Columbia) in the percentage of students eligible *and received* free or reduced price lunches and breakfasts.[24] The United States Department of Agriculture (USDA) also ranked Nevada **last** in the nation (53rd out of all 50 states, plus the District of Columbia, Guam, and Puerto Rico) for participation in NSLP with 47.1 percent of eligible children participating in the program and 52nd for participation in the School Breakfast Program (SBP) with 15 percent of the eligible children participating in the program. The national average participation for NSLP is 62.31 percent and the national average participation for SBP is 26.26 percent. The Clark County School District reported that 182,300 students were eligible for free lunch and reduced lunch for grades K-12.[25] Although this demonstration project is not focusing on the school-aged child who is hungry, when children receive the SBP and NSLP programs, then it is reasonable to assume that the child who is 0 – 5 years old will have access to more food.

- **Child and Adult Care Food Program (CACFP)** In Nevada, Food for Kids, Inc., is a sponsor of the USDA Child and Adult Care Food Program. Through this affiliation, they help provide nutritional support to licensed and certified daycare providers throughout Nevada. They also provide financial and educational tools to help them to make better nutritional choices. Program eligibility is determined by participating CACFP agencies and is based on household income of each participant. Children, who are members of SNAP households, Temporary Assistance to Needy Families, Food Distribution

[23] FRAC – Profiles of Hunger, Poverty, and Federal Nutrition Programs: frac.org/reports-and-resources/national-and-state-program-data *Updated Dec. 1, 2013*.
[24] Food Research and Action Center's School Breakfast Scorecard 2011.
[25] Nevada Schools (2014): *Number of Free and Reduced Students by School Building 2013 – 2014* Retrieved 6/10/14 via website http://nutrition.nv.gov/Data_Reports/Free_and_Reduced_Lunch_Data/

Program on Indian Reservation or Head Start eligible participants, automatically meet the income guidelines for the free meal category.

- **Summer Food Service Program (SFSP)** The need for healthy nutrition does not end when school lets out for the summer. The Summer Food Service Program (SFSP) fills that gap by providing good, nutritious food that's "in" when school is "out". It ensures that children ages 18 years or younger, in low-income areas, can continue to receive nutritious meals during school vacations.

- **Food Distribution Program on Indian Reservations (FDPIR)** The FDPIR provides commodity foods to low-income households, including the elderly residing on Indian reservations in the state of Nevada. This is an alternative to the Food Stamp Program because many households do not have easy access to food stores. The following Nevada Reservations currently participate in the FDPIR: Battle Mountain, Dresslerville, Duckwater, Elko, Ely, Goshute, McDermitt, Nixon, Warehouse, Wells, Wendover, and Winnemucca.

OBJECTIVE 3: Provide education to increase healthy shopping habits (*SNAP-E Plus*)
A lack of nutrition and healthy shopping information leads many people in the state to spend money on less healthy food options, and Nevada – particularly in the dry desert climate of Clark County – does not have easily accessible, locally grown healthy food readily available for low-income families.

The Nevada Division of Public Behavioral Health (DBPH) recently participated in the Summer Electronic Benefits Transfer for Children (SEBTC) Demonstration Project. The evaluation from our SEBTC Project found that children receiving Summer EBT benefits ate more healthy options compared to the control group. The SEBTC children ate 12.6% more fruits and vegetables; 29.6% more whole grains; and 9.7% more dairy.[26]

Utilizing the success of the SEBTC results, through the Nevada Demonstration Project, the grant funded Project Coordinator will provide targeted outreach, education, and training to ***SNAP-E Plus*** participants on shopping, cooking, and eating health.

Ultimately, Nevada's demonstration project will determine the impact that an increase in SNAP benefits (i.e. purchasing power), whether as a stand-alone intervention or as part of a holistic approach integrated with outreach, education and targeted case management, will have on reducing childhood hunger.

Table 5: Implementation Timeline

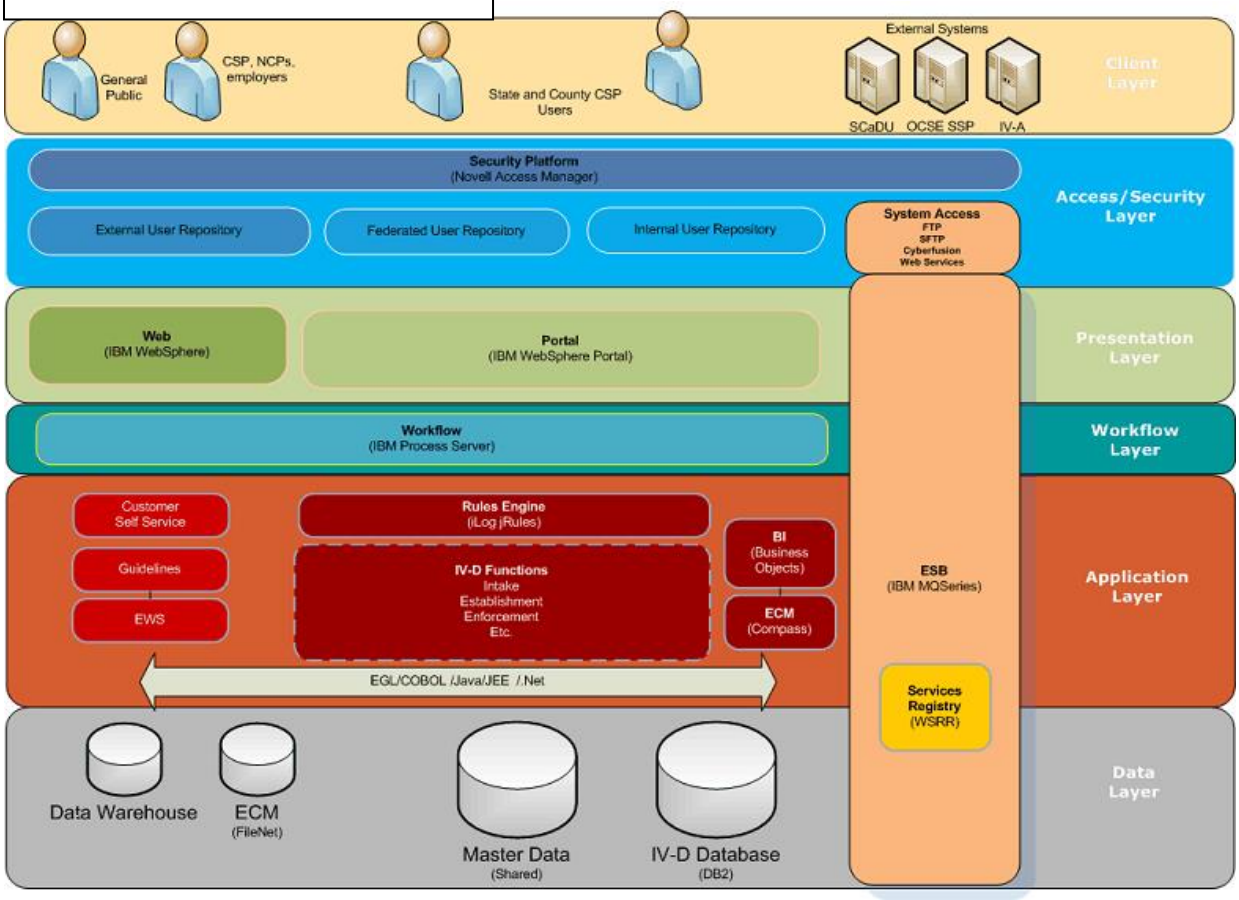
Activity	Begin Date	Due Date	Responsible Partner	Key Staff
USDA-FNS HHFKA funding in place	10/14	10/14	USDA	Demonstration Director
Hire appropriately credentialed personnel to manage and operate the project	10/14	11/14	DBPH	DBPH
Nevada orientation with FNS and evaluator	10/14	10/14	DBPH, Key Partners, and USDA	Demonstration Director, Project Coordinator
Conduct appropriate training and provide necessary support for DPBH and DWSS staff to successfully handle and coordinate demonstration project responsibilities	11/14	Ongoing	Key Partners and designated staff	Demonstration Director, Project Coordinator
Engage DPBH and DWSS administrative staff regarding grant conditions, financial requirements, data	10/14	Ongoing	DPBH, DWSS	Demonstration Director,

[26] Source: Summer Electronic Benefits Transfer for Children (SEBTC) Demonstration: Evaluation Findings for the Full Implementation Year, Abt Associates, Forthcoming 2013. Exhibits 5.9, page 119, and 5.12, page 121. All relationships are significant at $p < .01$.

elements, and data collection				Project Coordinator
Identify eligible participants for each cohort through SNAP NOMADS system (See Table 6)	2/15	3/15	DWSS	DWSS IT Manager
Test SNAP NOMADS Demonstration System updates	3/15	4/15	DWSS	DWSS IT Manager
Information notice sent to targeted ZIP codes	5/15	5/15	DPBH	Project Coordinator
Work with FNS evaluator to establish the benchmark data for the three groups	5/15	6/15	DBPH, Key Partners and USDA	Demonstration Director
Assign participants into control & cohort groups	5/15	Ongoing	DPBH, DWSS	Demonstration Director
Transmit Demonstration Project message to each eligible case	5/15	Monthly	DWSS	Automated
Transmit enhanced benefit amount along with standard benefit amounts to JP Morgan for deposit on SNAP EBT cards	5/15	Monthly	DWSS	Automated
Prepare Healthy Shopping Tips brochures	1/15	1st Quarter	Key Partners	Project Coordinator
Send three (3) educational pieces to SNAP-E Plus Cohort	5/15	2nd and 3rd quarter	DWSS, DBPH	Project Coordinator
Provide case management to enroll eligible SNAP-E Plus participants into other Federal food programs	5/15	Ongoing		Project Coordinator
Response to client requests though support line	5/15	Ongoing	SNAP-E Staff	Project Coordinator
Provide healthy cooking classes to SNAP-E Plus participants	6/15	Quarterly	Program Partners	Project Coordinator
Prepare & submit quarterly program & financial reports	1/14	quarterly	DPBH	Demonstration Director
Send Adverse Action Notices to clients who have been receiving SNAP enhancement	4/16	4/16	DWSS	Automated
Perform project closeout	6/16	6/16	DBPH, DWSS	Demonstration Director
Conduct briefing to all tiers on the success of the project, challenges encountered, lessons learned & planning for project continuation	6/16	6/16	Key Partners	All key staff
Prepare & submit final report and financial reports	6/16	7/16	DBPH	Demonstration Director
Make final project presentation	7/16	7/16	Key Partners	Demonstration Director

Key project tasks will be implemented during the 12-month period following a four (4) month project start-up. Initiation and completion dates are iterative milestones set with optimal project performance as the goal; however, some timeframes may need to be adjusted over the project's lifecycle, and could be influenced by unforeseen challenges, grant program/FNS evaluator feedback, or time constraints. The Nevada Demonstration Program will have a two (2)-month close-out period. Therefore, the program will begin October 2014 and conclude within 18 months.

Table 6: NOMADS System



2. Staffing Plan

Nevada's demonstration project will be led by the Nevada Department of Health and Human Services (NDHHS), and collaboratively managed by the following two divisions within NDHHS:

I. The Division of Public and Behavioral Health (DPBH), which administers WIC; and
II. The Division of Welfare and Supportive Services (DWSS), which administers SNAP.

Under this leadership structure, the project will be collaboratively implemented by a consortium of key partners, including the Nevada Department of Agriculture, Division of Food and Nutrition Services.

DBPH will provide management oversight for the project through the hiring of the Demonstration Director. The grant funded Demonstration Director will be located in Carson City at the DBPH facility. The programmatic and fiscal components will fall under the jurisdiction of the Demonstration Director, to include progress and financial reports, outcome tracking and final presentation. DPBH will be responsible for the recruitment and hiring of the contract staff members associated with this project and establishing a Help Line for participant support.

DWSS – SNAP will be responsible for generation of the list of eligible children, transmitting the additional benefit amount along with the standard monthly transmission of SNAP benefit amounts to JP Morgan for deposit on the SNAP EBT card, the generation and distribution of notices to inform participant households about the amount of the increased benefit.

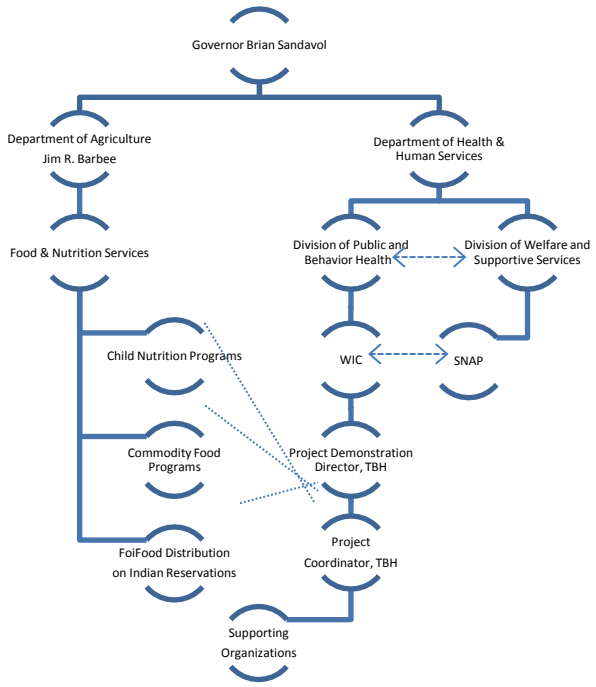
DWSS will collaborate on the project by sharing household information about SNAP participants with children 0-5 which can be compared to WIC participant information to identify SNAP households that are likely to be eligible for WIC but are not currently receiving WIC benefits. A mailing will be done by the Project Coordinator to those households providing information about how to contact the food banks for assistance in making application for WIC. Once this comparison has been made, DBPH and DWSS will be able to determine how many households receiving SNAP are not receiving WIC. This data will be available to support the outreach activities for the demonstration project prior to implementation.

SNAP will be responsible for reporting funds usage to DPBH such that DPBH will be able to ensure that the use of demonstration funds is in compliance with governing Federal regulations and authority, is not comingled or used inappropriately, and is maintained separately from other funds to ensure the maintenance of a distinct and transparent audit trail.

All key partners will work in concert to develop project communication materials: facts related to the project, project eligibility, project evaluation, project benefits, shopping tips and healthy food purchasing guidelines and determine the most effective efficient method of distribution.

Organization Chart

Nevada has a clear and focused management structure to ensure the channels of communication are maximized; communication will be coordinated, consistent, and timely. This structure is depicted in the following organizational chart:



Key

Personnel

Key personnel in this grant project have the requisite experience, expertise, skills, and education to ensure project efficacy and completion of the project on time and within budget. A brief summary of key personnel and their position descriptions is provided below. Additionally, resumes are provided for each proposed staff in Appendix A, as well as position descriptions for all key positions, including To Be Hired (TBH) vacancies.

Project key personnel will be comprised of:

Demonstration Director (1.0 FTE): This position will be housed within DBPH and is responsible for providing overall management for the project and monitoring progress and completion of the operational objectives and work plans established for the project. The Demonstration Director will provide ongoing supervision to assigned staff and will work directly with the FNS evaluator to review project objectives and ensure that project activities are implemented in a manner that supports evaluation of outcomes. The Demonstration Director will also be responsible for managing the project budget, in cooperation with fiscal staff from DWSS and DBPH, and will interact and communicate with different levels of external and internal stakeholders in the project, including the Governor's Council on Food Security.

Project Coordinator (1.0 FTE): This position will be report to the Demonstration Director and will be in Clark County – housed at donated space by Clark County. . The Project Coordinator is responsible for assisting the Demonstration Director in the development and implementation of programmatic goals and objectives; will work to develop and maintain collaborative working relationships with all key partners and outreach agencies; and will oversee the delivery of add-on services for ***SNAP-E Plus*** participants to determine current participation in assistance programs and identify other programs for which the household may be eligible. This position will serve as outreach and a case manager for the households to assist participants in obtaining and completing applications for all eligible programs, review and verify information provided by clients and make referrals as appropriate, will review and monitor participants application process for each program and track progress of benefits received, and prepare project reports summarizing each case activities. The Project Coordinator will also serve as the nutrition educator, providing direct education services to the participants.

In addition to these two key positions to be funded by the grant, additional personnel contributing to the project will include the DWSS Information Services Manager, a DWSS-SNAP Program Specialist, and DPBH fiscal staff.

Community Outreach and Nutrition Education

The Project Coordinator will be responsible for the outreach activities related to the Nevada Demonstration Project. In addition to coordinating communication and collaboration among the key project partners (DPBH, DWSS, and NDA) and the community-based organizations providing support to the project, the Project Coordinator will work with community service providers providing outreach, nutrition education and case management services for the children and families in the ***SNAP-E Plus*** cohort to ensure seamless referrals and linkages to all of the available benefits for which these households are eligible.

As a part of this process and to capture "lessons learned", the Project Coordinator will identify and document the various social, economic, employment, and housing barriers that prevent low-income families from accessing all of the benefits available to them to eliminate food insecurity and improve family and economic stability.

A variety of methods will be used to alert families within the selected demonstration areas of their options to additional resources. Families will be contacted by project staff to determine what level of targeted case management will be provided to connect families with all possible services. Referrals may be made to the SNAP Outreach or One-Stop-Shop partners. This efforts will utilize local media, the Nevada SNAP and WIC websites, the Clark County school district, Three Square (Clark County's only food bank), as well as the area Family Resource Centers to promote awareness of the program.

Consistent with the data elements determined for use by the FNS Evaluator, prospective participating households in the target service area will be issued a notification and "opt-out" form, so that families wishing to opt-out simply need to return this completed form to DWSS. These forms will be provided in both English and Spanish.

Demonstration project staff, with support from key partners and outreach agencies, will make the initial household contact. After this initial contact, subsequent contacts will be provided as part of case management. Coordination with the evaluator will be ongoing to determine treatment of control groups, to notify participants on selection, to establish report dates and locations and to conduct additional interviews and follow-up actions. Nevada will work with the FNS Evaluator to determine the methods for post-program interviews with participants, such as written surveys, phone surveys, etc., and will fully support all interview efforts.

Outreach materials, modeled after the current SNAP and WIC brochures and modified for this project, will be made available to participants in the ***SNAP-E Plus*** cohort. The demonstration will provide healthy shopping tips such as shopping with a list, reading nutrition labels, age specific appropriate food choices for 0-5 year olds, etc. Relevant program information and basic nutrition education will be delivered to each participating household, in conjunction with uploading the monthly enhancement onto the EBT card issued to the head of the household.

Project personnel will be available for technical assistance and support by phone, and the websites of all the State agencies administering USDA-FNS funded food and nutrition programs will be updated to reflect pertinent program information. For the ***SNAP-E Plus*** cohort, additional outreach strategies will be employed to increase participation rates in assistance

programs, such as creative marketing and education, improved customer service, and targeted case management practices to ensure ready access to nutrition assistance program benefits, especially for children.

Key Partners

DBPH and DWSS, along with NDA Division of Food and Nutrition, will serve as the "key partners" for the Nevada Demonstration Project and are committed to working collaboratively to develop the most effective systems and communications, in conjunction with the supporting local and community organizations to assist in coordination and delivery of outreach, education and case management services, as appropriate.

Training

DPBH will conduct appropriate training and provide necessary support for key personnel, agency staff and key partners to successfully handle demonstration project responsibilities. These responsibilities include, but are not limited to: providing data on participants to the evaluation contractor; facilitating access to participants for the evaluation contractor; providing agency and partners with necessary support, resources and oversight.

Supporting Organizations

DWSS has established working partnerships with community-based agencies throughout Nevada to assist eligible households with filling out SNAP applications. This is a federally fund program providing each agencies with 45% reimbursement for their expense related to SNAP Outreach. These agencies recognize how the Nevada Demonstration Project supports Nevada's goals to ensure that all eligible families and individuals are receiving benefits from all assistance programs for which they are eligible, and have pledged strong support for this project. Each of these agencies, in addition to the One-Stop-Shop grantees serving the target service area, plays an important role in achieving the goals of Nevada's Food Security strategic plan. The following agencies serve children and families in the target service area identified for the project:

- **HELP of Southern Nevada** will assist families and individuals throughout Southern Nevada to overcome barriers and attain self-sufficiency through direct services, training and referral to community resources, assisting clients with SNAP applications and conducting the initial SNAP interview is part of their Social Services program.
- **Three Square** is the only food bank in Clark County, and works with community partners to help people in need apply for SNAP by offering in-person and over-the-phone SNAP application assistance; application assistance for help with utilities; and referrals to other programs and benefits.
- **East Valley Family Resource Center** is a non-profit organization that provides support for families in need. Services are provided in the Las Vegas valley through a variety of programs targeted to families, children, and seniors. The mission of East Valley Family Services is to help families, children and seniors to become and remain self-sufficient, healthy and socially responsible.
- **Lutheran Social Services** operates a food pantry and clothing closet. They will provide the Food Commodity program to eligible participants.

3. Management Plan

Nevada welcomes the opportunity to participate in this important demonstration project to end child hunger, and supports FNS' goal to administer an effective and successful model that may be expanded and built upon in future years. The NDPBH will provide the necessary oversight, in coordination with its collaborative partners, to ensure high quality outcomes and to keep the demonstration project on time and within budget.

Internal Controls and Interoperability

The Nevada financial accounting system and chart of accounts for this project will be identical to the audit requirements and financial controls already in place to guarantee that demonstration project funds are accounted for as distinct and separate accounts for other grants.

DPBH will account for demonstration project funds separately from federal food nutrition assistance administrative funds and establish financial and management reporting and controls to assure that demonstration project funds are not

commingled or used inappropriately. A separate and distinct audit trail will be established and maintained for the expenditure of demonstration projects funds that clearly demonstrates that they are used solely for demonstration project purposes.

DPBH will use the current SNAP application database and the current EBT system to deliver benefits. This guarantees interoperability with the current system. EBT cards to be used for this project will be the current SNAP cards.

Contingency Plans

This demonstration grant project will not experience any disruption by personnel changes or disruptions in the benefit issuance system. The SNAP EBT system is based on redundancy. Each key personnel have a backup. The progress and financial reporting functions can be administered by a number of assigned project personnel. Additionally the evaluation liaison and administrative staff each have a designated back-up capable of performing their functions in the event of any unanticipated staff turnover or prolonged absence.

While additional positions are being put in place to support this program, *the skill set already exists for management oversight, necessary performance monitoring, program and financial controls, and the process to correct problems and make adjustments for improvement of operations, by current Nevada staff*.

Because the demonstration project will function in a similar manner to the SNAP system already in place, numerous SNAP personnel can support progress and financial reporting functions, as well as to step in if there were a need to temporarily cover for absent staff, and/or train a replacement if that were necessary. Staff time is tracked and will be reimbursed to the appropriate grant.

History and experience with operating a successful demonstration grant

Nevada is experienced with operating a successful demonstration project, and was selected by the USDA in 2012 as one of three awardees to participate in the second cohort of agencies chosen to pilot the Summer Electronic Benefit Transfer for Children (SEBTC) program.

The SEBTC demonstration tested an alternative approach to providing food assistance to children in the summer months. Outcome data from this demonstration exhibited large, significant reductions in the prevalence of food insecurity and very low food security among children. SEBTC used the same EBT model used by Nevada's WIC agency, although the program was separate from the EBT card used in WIC. (Notably, Nevada is the only western region state that uses EBT. There are only 11 WIC agencies nationwide that are not using paper checks or food vouchers.) The results of this demonstration project provided definitive data to Congress on the feasibility of this food delivery model, and its impact on food security and nutrition in advance of the debate on the next child Nutrition Reauthorization Bill.

Cooperation with Evaluation

As evidenced by the implementation plan and overall project design described above, Nevada understands the requirements related to program evaluation and is eager to work with the FNS evaluation contractor. DPBH has both the capacity and commitment to fulfilling those requirements, and will cooperate fully with the FNS evaluation contractor to facilitate periodic interviews with agency staff; maintain records on project costs; and assist with arrangements for site visits from FNS and the evaluation contractor, as needed.

As the lead agency for the project, DPBH will be the designated agency that will work most closely with the evaluation. DPBH will be involved in virtually every facet and phase of the demonstration project. The Key Partners team will meet with the FNS Evaluator upon project initiation to determine the procedure, format, and data elements that will be shared with the evaluator. The database resides with the DWSS SNAP NOMADS system and will be made available upon execution of the data sharing agreement.

Nevada will consult with the FNS Evaluator to determine and define each data element to be utilized. Communication and cooperation with the FNS evaluator to resolve problems, to troubleshoot or to correct issues and improve procedures resides with the Demonstration Director, with support from the Project Coordinator.

This project will be an extension of existing EBT technology in use, so the experience and project management skill set is already in place. During project start-up, meetings with the evaluator will be utilized to clarify the process, and further clarification or refinement may be discussed and incorporated during the regularly scheduled meetings for the duration of the project.

ATTACHMENT A: Key Personnel Resumes and Job Descriptions

- Demonstration Director Job Description (TBH)
- Outreach Coordinator Job Description (TBH)

APPENDIX O
ABSTRACT EXAMPLE
(JUSTICE & MENTAL HEALTH GRANT USED)

ABSTRACT:

The State of Nevada's Northern Nevada Adult Mental Health Services (NNAMHS), in partnership with the Washoe County Sheriff's Office, is expanding the Northern Nevada Forensic Mental Health Team (FMHT) to provide mental health evaluation and treatment planning and post-release treatment with wrap around services across multiple jurisdictions in order to reduce recidivism among those with a mental illness or co-occurring disorder. The overarching structure, community outreach, and education, in conjunction with more consistent and less fragmented programming, will address the recent increase in requests for additional assistance from courts, family members and others. To facilitate this assistance, a single point of contact was established and community education is set for bi-annual delivery. The Washoe County Sheriff's Office provides assistance psychiatric care, primary health care, and medication monitoring through the *Inmate Assistance Program* and provides linkages to residential substance abuse treatment and community resources. Additional resources include Crisis Intervention Training for first responders, the illness management Recovery model, the HomeLink Program, and a Mobile Safety Outreach Team. Each partner plays an integral role in implementation and operation of each service. Agency collaboration and support stem from the Department of Health and Human Services with the Department of Public and Behavioral Health's NNAHMS program. The Department of Education, Rehabilitation and Training also provides support in the way of expanded housing services and access to food and community support. The FMHT is managed by a Clinic Program manager at NNAMHS and will be assisted by a new Mental Health Counselor position as part of the program proposal. The University of Nevada Reno will ensure program data integrity and assist NNAMHS and the WCSO in making individual links to treatment and support.

NEVADA SUBGRANTEE MEMORANDUM OF UNDERSTANDING

This Memorandum of Understanding ("MOU") is entered into by and between _____**(Lead Agency)** and the **_____.** The purpose of this agreement is to establish a framework of collaboration, as well as articulate specific roles and responsibilities in support of the State in its implementation of the federal grant award approved for the _____, CFDA _____, referred to from this point forward as the _____.

I. ASSURANCES

The Subgrantee hereby certifies and represents that it:

1) Agrees to implement those portions of the Scope of Work, **Exhibit I.**
2) Has all requisite power and authority to execute and fulfill the terms of this MOU;
3) Is familiar with the _____ Grant application and is supportive of and committed to working on all applicable portions of the Plan;
4) Will implement the Scope of Work in Exhibit I consistent with the Budget included in section _____ of the Grant Plan (including existing funds, if any, that the Subgrantee is using for activities and services that help achieve the outcomes of the Grant; and
5) Will comply with all of the terms of the Grant, this agreement, and all applicable Federal and State laws and regulations, including laws and regulations applicable to the _____ Grant, and the applicable provisions and the suspension and debarment regulations in 2 CFR Part 3485.

II. PROJECT ADMINISTRATION

A. SUBGRANTEE RESPONSIBILITIES

In assisting the Lead Agency in implementing the tasks and activities described in Grant application, the Subgrantee will:
1) Implement the Subgrantee Scope of Work as identified in **Exhibit I** of this agreement, and included in the Grant Application as identified in **Exhibit III**;
2) Make arrangements for programs to be provided by _____Providers and will appropriately monitor such entities;
3) Abide by the State's Budget included in section VIII of the Grant Plan (including the existing funds from Federal, State, private and local sources, if any, that the Subgrantee is using to achieve the outcomes Grant) and with the Subgrantee's Budget included in **Exhibit II** of this agreement;
4) Actively participate in all relevant meetings or other events that are organized or sponsored by the State, by the U.S. Department of_____"), or by the U.S. Department of Health and Human Services ("HHS");
5) Post to any Web site specified by the State, _____, in a timely manner, all non-proprietary products and lessons learned developed using Federal funds awarded under the United States Department of _____, CFDA _____, _____, New Award, Discretionary, Award No. _____;
6) Participate, as requested, in any evaluations of this grant conducted by the State, _____ (federal agency);
7) Be responsive to State, _____ (federal agency) requests for project information including on the status of the project, project implementation, outcomes, and any problems anticipated or encountered, consistent with applicable local, State and Federal privacy laws;

8) Provide appropriately approved researchers with access, consistent with requirements of all applicable Federal, State, and local privacy laws, to available data regarding the _____, as required by the United States Department of _____;
9) Implement culturally and linguistically responsive outreach and communication efforts to enroll isolated or hard-to-reach families; help families build protective factors; and engage parents and families as decision-makers in their children's education;
11) Minimize local administrative costs; and
12) Partner with _____, as appropriate, to carry out activities.

B. LEAD AGENCY RESPONSIBILITIES
In assisting the Subgrantee in implementing their tasks and activities described in the Grant application, the Lead Agency will:
1) Work collaboratively with the Subgrantee and support the Subgrantee in carrying out the Subgrantee's Scope of Work, as identified in **Exhibit I** of this agreement and as defined in the Grant Application as attached in **Exhibit III**;
2) Award in a timely manner the portion of Grant funds designated for the Subgrantee in the Plan during the course of the project period and in accordance with the Subgrantee Scope of Work, as identified in **Exhibit I**, and in accordance with the Subgrantee's Budget, as identified in **Exhibit II**, and in accordance with the Grant in **Exhibit III**;
3) Provide feedback on the Subgrantee's status updates, any interim reports, and project plans and products;
4) Keep the Subgrantee informed of the status of the Grant project(s) and seek input from the Subgrantee, where relevant to the portion of the Grant plan the Subgrantee is implementing;
5) Facilitate coordination across Subgrantees necessary to implement the Grant Plan;
6) Identify sources of technical assistance for the project; and
7) Monitor Subgrantee's Implementation of _____Programs.

C. JOINT RESPONSIBILITIES
1) The Lead Agency and the Subgrantee will implement the Grant plan consistent with the description of the roles and responsibilities outlined in the State's grant application and in the Scope of Work in **Exhibit I** and Grant Application in **Exhibit III;**
2) The Lead Agency and the Subgrantee will each appoint a key contact person for the Grants;
3) These key contacts from the Lead Agency and the Subgrantee will maintain frequent communication to facilitate cooperation under this MOU, consistent with the State Grant Plan and governance structure.
4) Lead Agency and Subgrantee personnel will work together to determine appropriate timelines for project updates and status reports throughout the grant period;
5) Lead Agency and Subgrantee personnel will negotiate in good faith toward achieving the overall goals of the Grant, including when the State Grant Plan requires modifications that affect the Subgrantee, or when the Subgrantee's Scope of Work requires modifications;
6) The Lead Agency and the Subgrantee will devise plans to sustain Programs after the grant period, including any non-Federal support that the State or Subgrantees plan to contribute;
7) The Lead Agency and the Subgrantee will coordinate plans related to assessments, data sharing, instructional tools, family engagement, cross-sector and comprehensive services efforts, professional development, and workforce and leadership development; and
8) The Lead Agency and the Subgrantee will coordinate, but not supplant, the delivery Programs funded under this grant with existing services for _____.

D. STATE RECOURSE IN THE EVENT OF SUBGRANTEE'S FAILURE TO PERFORM
If the Lead Agency determines that the Subgrantee is not meeting its goals, timelines, budget, or annual targets, or is in some other way not fulfilling applicable requirements, the Lead Agency will take appropriate enforcement action, which could include initiating a collaborative process by which they attempt to resolve the disagreements

between the Lead Agency and the Subgrantee, or initiating such enforcement measures as are available to the Lead Agency, under applicable State or Federal law.

III. MODIFICATIONS

This Memorandum of Understanding may be amended only by written agreement signed by each of the parties involved, in consultation with United States Department of _____.

IV. DURATION

This Memorandum of Understanding shall be effective, beginning with the date of the last signature hereon and ending upon the expiration of the Federal funds awarded under the United States Department of _____, CFDA _____, _____, New Award, Discretionary, Award _____, also referred to as the _____, project period.

V. SIGNATURES

Authorized Representative of Lead Agency:

_____

Signature Date

_____

Print Name Title

Authorized Representative of Subgrantee:

_____

Signature Date

_____

Print Name Title

APPENDIX Q
SMART TABLE EXAMPLE

GOAL 1: Nevada will strengthen its comprehensive statewide Suicide Prevention Plan, being informed by current grant activities and building upon emerging coalition development and military/veteran organization partnerships.				
OBJECTIVE A: Facilitate coordination and collaboration of key state and local stakeholders to build upon unified state and local level planning teams.				
TASK	ACTIVITIES	TIMEFRAME	RESPONSIBLE	RESET / EVALUATION
GOAL 1:				
OBJECTIVE B:				
TASK	ACTIVITIES	TIMEFRAME	RESPONSIBLE	RESET / EVALUATION
GOAL 2:				
OBJECTIVE A:				
TASK	ACTIVITIES	TIMEFRAME	RESPONSIBLE	RESET / EVALUATION
GOAL 2:				
OBJECTIVE B:				
TASK	ACTIVITIES	TIMEFRAME	RESPONSIBLE	RESET / EVALUATION